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**Operational activities of the United Nations for international development cooperation: follow-up to policy recommendations of the General Assembly and the Council**

## Implementation of General Assembly resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system

### Report of the Secretary-General**

*Summary*

The General Assembly, in paragraph 186 of its resolution 67/226, on the quadrennial comprehensive policy review of operational activities for development of the United Nations system, requested the Secretary-General, on the basis of information provided by the funds, programmes and specialized agencies of the United Nations development system, to submit to the Economic and Social Council, at its substantive sessions of 2013, 2014 and 2015, analytical reports on results achieved and measures and processes implemented in follow-up to the quadrennial comprehensive policy review, with a view to ensuring its full implementation. The present report responds to this mandate.

This report, which follows the structure of General Assembly resolution 67/226, was prepared just four months after the adoption of resolution 67/226. The United Nations system entities are currently in the process of setting priorities and preparing work plans, with a view to implementing the important decisions contained in the resolution on the quadrennial comprehensive policy review. Therefore a more comprehensive report can be expected in 2014.

* E/2013/100.

** The delay in the submission of the report was owing to the late receipt of inputs from some organizations.

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The current report draws largely on the findings of the surveys administered in the spring of 2012 and again in 2013. While some of the surveys were conducted before the quadrennial comprehensive policy review, they can serve as a baseline for future data collection and analysis. The 2012 surveys were addressed to Governments of all programme countries and to all resident coordinators, United Nations country team members, Chairs of operations management teams at the country level, and civil society organizations in programme countries. The surveys in 2013 were sent to the headquarters of United Nations entities and to all resident coordinators and Chairs of operations management teams at the country level. Other important inputs to the report include the action and work plans established by the High-level Committee on Management of the United Nations System Chief Executives Board for Coordination and the United Nations Development Group on the implementation of the quadrennial comprehensive policy review, as well as a number of background studies prepared for the 2012 quadrennial comprehensive policy review.

In those decisions where the General Assembly, in its resolution 67/226, gave precise deadlines for action, the baselines and the targets are already available. In other instances where such targets were not set in the resolution, targets will be established by end of the present year, in conjunction with the agencies, funds and programmes, with a view to further facilitating the full and timely implementation of the resolution. A preliminary monitoring and indicator framework has been drafted to inform this further process of consultation.

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# I. Introduction

1. The General Assembly, in paragraph 186 of its resolution 67/226, requested the Secretary-General, on the basis of information provided by the funds, programmes and specialized agencies of the United Nations development system, to submit to the Economic and Social Council, at its substantive sessions of 2013, 2014 and 2015, analytical reports on results achieved and measures and processes implemented in follow-up to the quadrennial comprehensive policy review, with a view to ensuring its full implementation. In paragraph 187 of the resolution, the Assembly requested the Secretary-General to continue to strengthen the analytical quality of system-wide reporting on funding and performance and programme results for United Nations operational activities for development, including the coverage, timeliness, reliability, quality and comparability of system-wide data, definitions and classifications.

2. The present report, which follows the structure of General Assembly resolution 67/226, was prepared just four months after the adoption of that landmark resolution. At the time of its writing, the entities of the United Nations system were still in the process of setting priorities and preparing work plans, with a view to implementing the many important decisions contained in resolution 67/226. Therefore, a more comprehensive report can be expected in 2014.

3. The present report draws largely on the findings of the surveys administered in the spring of 2012 and again in 2013. While some of the surveys were conducted before the quadrennial comprehensive policy review, they can serve as a baseline for future data collection and analysis. The 2012 surveys were addressed to Governments of all programme countries and to all resident coordinators, United Nations country team members, Chairs of operations management teams at the country level, and civil society organizations in programme countries. The surveys in 2013 were sent to the headquarters of United Nations entities[1] and to all resident coordinators and Chairs of operations management teams at the country level.[2] The findings from all the surveys will serve as key inputs to the development of a baseline for measuring progress in implementing General Assembly resolution 67/226.

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[1] Thirteen entities responded to the agency headquarters survey, namely: United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), United Nations Children's Fund (UNICEF), United Nations Educational, Scientific and Cultural Organization (UNESCO), Office of the United Nations High Commissioner for Refugees (UNHCR), Joint United Nations Programme on HIV/AIDS (UNAIDS), United Nations Environment Programme (UNEP), International Trade Centre UNCTAD/WTO (ITC), United Nations Development Programme (UNDP), World Food Programme (WFP), International Telecommunication Union (ITU), United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), Food and Agriculture Organization of the United Nations (FAO) and United Nations Population Fund (UNFPA). These entities accounted for some 82 and 74 per cent of total and development-related activities, respectively, of the United Nations development system in 2011.

[2] This report also benefited from a background paper on challenges and opportunities in implementing previous triennial comprehensive policy review (decisions of the General Assembly, as well as two notes prepared for the informal meeting of the Bureaux of the Economic and Social Council and the Executive Boards of the funds and programmes, which took place on 8 May 2013. These background documents, as well as the survey instruments, can be found on the quadrennial comprehensive policy review home page of Department of Economic and Social Affairs: http://www.un.org/en/development/desa/oesc/qcpr.shtml.

4. The 2013 surveys of resident coordinators and Chairs of operations management teams at the country level received a high response rate. For example, some 90 per cent of resident coordinators who have served in that capacity for more than six months responded to the survey.

5. The High-level Committee on Management and the United Nations Development Group (UNDG) of the United Nations System Chief Executives Board for Coordination (CEB) have agreed on strategic priorities and work plans that stem from the quadrennial comprehensive policy review. These documents and analytical papers prepared for the quadrennial comprehensive policy review in 2012 provided important inputs to the report of the Secretary-General. A more detailed analysis of the findings of the surveys will be circulated to Member States in advance of the operational activities segment of the 2013 substantive session of the Economic and Social Council.

6. Regarding the monitoring of the implementation of General Assembly resolution 67/226, for those decisions where the Assembly gave precise deadlines for action, the baselines and targets are already available. In those instances where such targets have not been set in the resolution, they will be established by the end of this year, in close cooperation with agencies, funds and programmes, with a view to further facilitating the full and timely implementation of the resolution. A preliminary monitoring and indicator framework (see table 22) has been drafted to inform a further process of consultation with agencies, funds and programmes. This framework will be further refined to ensure that it is both meaningful and cost-effective in terms of not increasing transaction costs, while ensuring rigorous tracking of the implementation of the quadrennial comprehensive policy review expected by Member States. The monitoring and indicator framework in table 22 therefore should be considered as a work-in-progress and submitted to the Economic and Social Council for review and guidance. The report of the Secretary-General in 2014 will include analysis of the progress made regarding the selected agreed indicators against both the baseline and targets to be achieved in the present quadrennial comprehensive policy review cycle.

7. The surveys of resident coordinators and Chairs of operations management teams included a number of questions that also featured in 2012 questionnaires of programme country Governments, resident coordinators, country team members and operations management teams. This has permitted a degree of validation of the earlier findings, while also showing areas where significant progress has been made or new challenges have appeared. As decided by the General Assembly in its resolution 67/226, the survey of programme country Governments will be conducted biennially, with the next one in early 2014.

## II. Funding of operational activities of the United Nations system for development

8. This section presents a summary of key findings of the funding report of the Secretary-General (A/68/97-E/2013/87), which itself provides more detailed analysis and other relevant background and contextual information.

## A. Contributions

**Real term decline of total contributions in 2011**

9. Total contributions to operational activities for development of the United Nations system in 2011 amounted to some $22.8 billion, about the same as in 2010 in nominal terms and 6.9 per cent less in real terms. Total contributions were equivalent to about 15 per cent of total official development assistance (ODA) (excluding debt relief), as reported by the Organization for Economic Cooperation and Development (OECD)/Development Assistance Committee (DAC). About 67 per cent of funding was directed to longer-term development-related activities, against 33 per cent to activities with a humanitarian assistance focus. This is similar to the distribution in 2010.

**Most of the decline attributed to non-core funding**

10. Total core contributions to operational activities for development amounted to $6.3 billion in 2011, about the same in real terms as in 2010. A decline of 3 per cent in core funding for development-related activities was offset by an increase of 12 per cent in core funding for humanitarian assistance-related activities. Non-core funding for operational activities for development and development-related activities declined in real terms by 9 and 11 per cent, respectively, in 2011.

**Imbalance between core and non-core funding continues**

11. Some 72 per cent of total funding for operational activities for development in 2011 was non-core funding, against 74 per cent in 2010. The non-core component of funding for humanitarian assistance-related activities was at 81 per cent, higher than the 68 per cent for development-related activities. The global imbalance between core and non-core resources for development-related activities is primarily driven by contributions from other sources such as the European Commission and global funds, rather than by direct contributions by DAC Governments.

**Longer-term funding trends positive**

12. In the period from 1996 to 2011, overall trends have been positive for both development- and humanitarian assistance-related activities. In this 15-year period, funding for development-related activities and humanitarian assistance-related activities more than doubled in real terms; the non-core component of development-related contributions grew strongest, by about two-and-a-half times. Overall, contributions for United Nations operational activities for development grew at a faster rate during this 15-year period than total ODA, as was reported by OECD/DAC. Almost all of this growth was in the form of non-core resources, resulting in the decline of core ratio for operational activities for development as a whole from 50 per cent in 1996 to 28 per cent in 2011 and for development-related activities alone from 60 per cent in 1996 to 32 per cent in 2011.

**Shorter-term funding trends more even**

13. Since 2006, total funding for United Nations operational activities for development has grown for the first time at a slower pace than total ODA, pointing to a declining trend in the share of total ODA being channelled through the United Nations development system. Over the past four years, total contributions in

nominal terms remained at approximately the same level, with some modest nominal growth in development-related funding offset by a decrease in humanitarian assistance-related activities. However, overall ODA flows have declined over the past two years.

**Funding base broadened**

14. The funding base for operational activities for development has seen general broadening. While the absolute volume of direct contributions of OECD/DAC countries increased by 83 per cent in real terms between 1995 and 2011, its overall share of total funding has declined from 76 to 63 per cent. Similarly, for development-related activities alone, the OECD/DAC share has declined from 71 per cent in 1995 to 60 per cent to 2011. The share of contributions from non-governmental organizations, public-private partnerships and other multilateral institutions (including global funds) for development-related activities increased from 9 per cent in 1995 to 21 per cent in 2011. In 2005, the share was 17 per cent, indicating that the broadening of the funding base has continued in the shorter term.

**United Nations system the largest multilateral partner of OECD/DAC countries**

15. Some 27 per cent of all direct contributions to the multilateral system in 2011 as reported by OECD/DAC were channelled through the United Nations development system, making the Organization the largest multilateral partner of DAC countries.

**Contributions from developing countries growing**

16. Contributions from developing countries (excluding local resources) for operational activities for development were $562 million in 2011 and have increased by some 16 per cent in nominal terms between 2005 and 2011. About half of this funding was in the form of core contributions.

**Pooled funding and joint programmes still a small share of total non-core**

17. Some 90 per cent of non-core funding for development-related activities in 2011 was predominantly single-donor and programme- and project-specific. This has contributed to the fragmentation of resources flows, with a consequent impact on overall programme coherence, efficiencies and transaction costs. Contributions to pooled funding arrangements like multi-donor trust funds, including One United Nations Funds and thematic funds of entities, accounted for the remaining 10 per cent of non-core resource flows. The value of newly approved joint programmes in 2011 financed from any combination of the above modalities was less than 3 per cent of total non-core funding in 2011.

## B. Expenditures

**General**

18. Some 72 per cent of the total expenditures of $25.1 billion for operational activities for development in 2011 concerned programme activities at the country level, of which 47 per cent, or $8.5 billion, were in Africa. The remaining 28 per cent of total expenditures related to global and regional programme activities and programme support and management activities. Some entities refer to programme

support as development effectiveness. Programme support and management costs are those that, in discussions on cost recovery related to the quadrennial comprehensive policy review, have been referred to as so-called non-programme costs.

19. Expenditures on development-related activities reached $17.2 billion in 2011, an increase of 19 per cent in real terms since 2006. About half of development-related expenditures (excluding local resources) at the country level were spent in low-income countries in 2011.

## C. Selected issues

**No significant change in predictability of resources flows**

20. Annual changes in donor contributions can be quite significant, including as a result of volatility in exchange rates. The combined negative effect of fluctuations in contributions on the overall availability of resources has been limited during the recent period of general growth. However, this relative stability seems to be the result of coincidence rather than of a funding system that has built-in mechanisms to address the challenges that are intrinsic to a heavy dependency on annual voluntary contributions. By and large, no significant change has occurred in predictability, reliability and stability of funding flows, despite the adoption of integrated strategic and multi-year financing frameworks by entities of the United Nations development system.

**Introduction of common budgetary frameworks at the country level**

21. Common budgetary frameworks to strengthen the quality of system-wide resource planning and mobilization and to enhance transparency at the country level have been introduced in 30 countries, or 28 per cent of the countries covered by the survey of resident coordinators, following UNDG-issued specific guidance in this regard. The countries with common budgetary frameworks so far include the 8 "Delivering as one" pilot countries, 14 self-starters and 8 others. This take-up is to be welcomed, considering that the use of a common budgetary framework has hitherto been optional. With General Assembly resolution 67/226, the common budgetary framework has become a requirement in all countries, upon agreement with programme countries.

**Uneven burden-sharing among OECD/DAC countries**

22. OECD/DAC countries accounted for 83 per cent of total core resources for development-related activities in 2011, with a significant difference in individual contributions if measured as a share of gross national income. If the 2011 median ratio between core development-related funding and gross national income were to be set as a minimum target for a successful system of negotiated pledges, total core contributions would increase by some $2.4 billion, or 58 per cent, to $6.7 billion.

**Alignment of newly approved cost-recovery frameworks with General Assembly resolution 67/226**

23. There is a significant difference in the distribution of total programme support and management costs (non-programme costs) between core and non-core funding

sources. In its resolution 67/226, the General Assembly reaffirmed that the guiding principle governing the financing of all non-programme costs should be based on full cost recovery, proportionally, from core and non-core funding sources.

24. It should be noted that the quadrennial comprehensive policy review coincided with a review by UNDP, UNICEF, UNFPA and UN-Women of a harmonized cost-recovery rate and new calculation methodology as part of a joint road map to the first integrated budgets that these entities will submit for approval to their respective executive boards in 2013 and that will cover the period 2014-2017. The intention of the new cost-recovery methodology, which was subsequently approved by the respective executive boards in January 2013, is to better align the funding of organizational costs between core and non-core resources in similar proportions as corresponding programme resources. These four entities combined account for some 58 per cent of all development-related operational activities (54 per cent of all core and 60 per cent of all non-core).

**Work of the United Nations development system moderately concentrated**

25. The United Nations development system as a whole is moderately concentrated, with 50 programme countries, or 34 per cent of the total, accounting for some 80 per cent of all country-level expenditures in 2011. In 59 programme countries, or 40 per cent of the total, operational activities for development accounted for less than 10 per cent of total OD in 2011.

26. The entities of the United Nations development system that reported country-level expenditures had a combined total of 1,998 agreements with 147 programme countries in 2011. About half of those agreements were significant in financial terms.

**Concept of critical mass under consideration**

27. The General Assembly, in its resolution 67/226, requested the funds and programmes to develop common principles for the concept of critical mass of core resources and to present specific proposals to their respective governing bodies by the end of 2013 with a view to decision by 2014. Entities report that discussions on critical mass are taking place in preparation for their eventual presentation to the executive boards in keeping with the timeline in resolution 67/226.

## III. Contribution of United Nations operational activities to national capacity development and development effectiveness

28. Besides the functional area of capacity development, General Assembly resolution 67/226 provides guidance to the United Nations development system in a number of other cross-cutting areas, namely, poverty eradication, South-South cooperation, gender equality and women's empowerment, transition from relief to development and sustainable development. The UNDG quadrennial comprehensive policy review Action Plan and 2013-2014 work plan envisage that the UNDAF programming principles and practices will be updated to ensure alignment with the new mandates of the quadrennial comprehensive policy review in these cross-cutting areas.

29. As of 2014, the Secretariat, in close collaboration with the United Nations Development Operations Coordination Office, will annually review new UNDAFs

as part of the assessment of progress in reflecting the normative guidance provided by the General Assembly in resolution 67/226 in these cross-cutting areas. In conjunction with the agencies, funds and programmes, other instruments, such as the surveys of programme countries and United Nations country teams, will also assist in examining how these areas are prioritized in key operational instruments and processes at the country level, including work plans, result groups and budget allocation.

30. The programme country survey of 2012 produced data on how effective the United Nations system is perceived to have been in the cross-cutting areas and on the areas in which Governments would like to benefit from United Nations cooperation in the future. Changes over time in how effective the United Nations is perceived by Governments in programme countries in this regard will be monitored through the annual reports of the Secretary-General on the quadrennial comprehensive policy review.

31. In assessing progress in the above cross-cutting areas, it is important to note that at present there is no unified approach within the United Nations system for classifying expenditures according to sectors. The previously used Administrative Committee for Coordination system-wide sector classification system is no longer functioning as a harmonized system owing to the exponential growth in non-core funding, which has led to frequent modifications of the classification system by individual entities. This makes it inherently difficult to accurately present the sector distribution of expenditures for operational activities for development, including in the above cross-cutting areas, owing to the lack of adequate, up-to-date standards and methodologies.

## A. Capacity-building and development

32. The General Assembly, in its resolution 62/208, on the TCPR called on the Secretary-General to "take measures to ensure a coherent and coordinated approach by the United Nations development system in its support to capacity development efforts of programme countries". The 2013 survey of resident coordinators included several questions designed to establish a baseline that could assist in monitoring the response of the United Nations system to the repeated calls of the General Assembly to better support the capacity development efforts of programme countries.

33. UNDG has made capacity development one of its five "programming principles". It has produced numerous resources to guide a more coherent approach to supporting capacity development, including a position statement on capacity development, guidelines and tools for assessing capacity and designing capacity development strategies,[3] and a technical note for integrating capacity development into the common country programming process. At the same time, it is widely recognized that a common approach to measuring the impact of capacity development activities would be beneficial to the United Nations system. Appropriate steps to this effect are included in the UNDG quadrennial comprehensive policy review Action Plan.

[3] Moreover, a United Nations guidance note for effective use and development of national capacity in post-conflict contexts has been developed and is under review in the concerned inter-agency forums.

34. Notwithstanding the progress made, according to the programme country survey in 2012, Governments do not, in general, perceive that the efforts of the United Nations in capacity development are meeting their expectations. Moreover, in the 2012 survey of civil society organizations, 73 per cent of respondents indicated that it was "very important" that the United Nations system pay more attention to supporting the development of national capacities in programme countries.

35. Based on the 2013 resident coordinator survey, 31 per cent of the respondents reported that a national capacity assessment was conducted at the UNDAF country analysis stage. An additional 28 per cent reported that a comparable assessment was made available to the United Nations country team at that time. Some 41 per cent of resident coordinators reported that such assessment was not conducted during the UNDAF country analysis stage. These programme countries were evenly spread across income levels. Further research would show how the country teams in these programme countries ensured a firm basis for providing effective support to national capacity development. UNDAF evaluations should systematically look at the support of the United Nations development system for national capacity development.

36. The resident coordinators were also asked whether the country team has a joint strategy for supporting national capacity development, aside from a general commitment reflected in the UNDAF; 10 resident coordinators reported that the country team has such a strategy; and 30 resident coordinators reported that the country team has a joint training plan to strengthen the financial management capacity of implementing partners. The existence of such strategies and plans can be seen as one of the signs of commitment by United Nations entities to making progress in this area and could be extended to address capacities at the other levels (i.e., institutions and enabling environment).

37. The General Assembly, in paragraph 63 of its resolution 67/226, requested the United Nations development system to develop a common approach and frameworks for measuring progress in capacity development in programme countries. The results of the agency headquarters survey confirm that a number of United Nations entities have integrated capacity development in their strategic objectives or strategic plans. Agencies also subscribe to the joint UNDG commitment in follow-up of General Assembly resolution 67/226. UNDP has developed an approach for measuring changes in capacities and improvements in institutional performance, on the basis of both United Nations support to capacity development and overall national efforts to increase capacity. In addition, UNDP has implemented a mechanism ("capacity development tracker") for promoting and measuring integration of capacity development into country programmes. UNDP plans to present the capacity development measurement framework and capacity development tracker to UNDG as a basis for developing a common UNDG approach for measuring progress in capacity development.

38. Resident coordinators were also asked to indicate the extent to which they agreed that the United Nations system in the country used specified national capacities as much as possible. An identical question was asked of programme country Governments in 2012 and the data from both surveys are shown in table 1.

Table 1
**United Nations approaches to achieve good results in countries**
(Percentage of Governments in 2012 and resident coordinators in 2013 that checked each response)

| | *Strongly agree* | | *Somewhat agree* | | *Somewhat disagree* | | *Strongly disagree* | |
|---|---|---|---|---|---|---|---|---|
| *Dimension of capacity* | *Governments* | *Resident coordinators* | *Governments* | *Resident coordinators* | *Governments* | *Resident coordinators* | *Governments* | *Resident coordinators* |
| Used national experts in the design of programmes and projects | 31 | 67 | 50 | 29 | 12 | 3 | 6 | 1 |
| Used national institutions in the design of programmes and projects | 36 | 54 | 49 | 42 | 11 | 3 | 6 | 1 |
| Used national procurement systems | 11 | 7 | 33 | 39 | 28 | 30 | 24 | 24 |
| Used national financial systems | 12 | 9 | 37 | 38 | 27 | 31 | 21 | 22 |
| Used national monitoring and reporting systems | 10 | 16 | 42 | 43 | 26 | 29 | 29 | 12 |
| Used national evaluation capacities | 10 | 17 | 43 | 35 | 27 | 36 | 12 | 13 |

39. Table 1 indicates the close agreement between Governments and resident coordinators on the extent to which the United Nations is seen to be using each category of national capacities "as much as possible", especially in terms of implementation, monitoring, reporting and evaluation. A divergence can be observed with regard to using experts and institutions at the design stage, where resident coordinators feel more strongly than Governments that the United Nations is using national capacities to the fullest extent.

40. In the supplementary comments, some resident coordinators mentioned the limited capacity of national institutions, and steps being taken to strengthen national capacities, including through the harmonized approach to cash transfer process. While the interests of strengthening national capacities clearly lie in using national institutions to a much greater extent, the resident coordinator survey shows that in the majority of programme countries, funds are still largely being managed through agency execution or implementation. Such United Nations execution or implementation tends to be more prevalent in low-income countries, but it is also quite common at higher income levels.

41. The main reasons for United Nations agency execution or implementation, as seen by the resident coordinators, are set out in table 2.

Table 2
**Reasons for United Nations agency execution or implementation at the country level**

| *Answer options* | *Response percentage* |
|---|---|
| The rules of some agencies do not allow them to transfer funds to the Government or other national institutions | 16.7 |
| The institutions in the country do not have the requisite capacities | 34.3 |
| The Government prefers United Nations agency implementation because the activities are of a small scale (for example, a short-term international consultancy) and it is more efficient that the United Nations agency do the work | 13.9 |
| The Government prefers United Nations agency implementation in some sensitive areas because it values United Nations neutrality | 23.1 |
| Other | 12.0 |

42. In the comment box of the survey, resident coordinators proposed additional reasons for limited government execution and implementation, including the following: the existence of regional projects where no national/regional institution covers all eligible programme countries; temporary political or humanitarian circumstances; and the insistence of some donors on United Nations execution.

43. It may be pertinent to highlight the fact that 18 resident coordinators, from all regions, selected the first option: "the rules of some agencies do not allow them to transfer funds to the Government or other national institutions". This topic could be explored in future surveys.

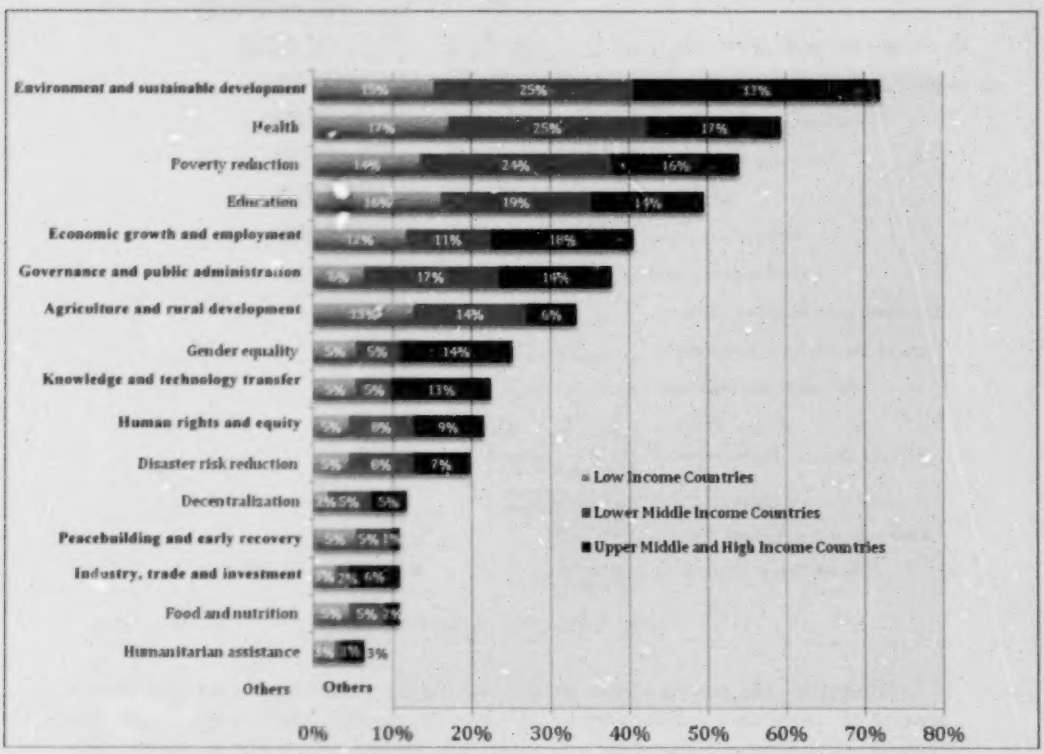
44. The resident coordinators were also asked specifically about the use of parallel implementation units. The majority of respondents, or some 72 per cent, disagreed that "the United Nations system is using parallel implementation units more than necessary". While still a matter of concern, parallel implementation units may be less of a problem in the context of United Nations activities, which fall mostly in the realm of technical assistance, than in the context of the activities of some other development partners who provide support for capital projects.

## B. Poverty eradication

45. General Assembly resolution 67/226 mentions repeatedly the need for the performance of the United Nations development system to be judged in terms of its impact on supporting programme countries in their efforts to eradicate poverty. Also, for the first time, resolution 67/226 treated poverty eradication as a topic with its own sub-heading. Reporting on performance in this area, however, is constrained, as noted at the beginning of this section, by the lack of a common classifications system that would allow trends in regard to funding for poverty eradication or other themes to be regularly monitored. For the purposes of the 2012 survey of programme country Governments, a list of 16 such themes was developed by the Department of Economic and Social Affairs in consultation with UNDG. Governments were asked to select the five most important areas for United Nations assistance to their country in the next four years. Poverty reduction was selected by 54 per cent of the countries; that is, more often than any other theme except for

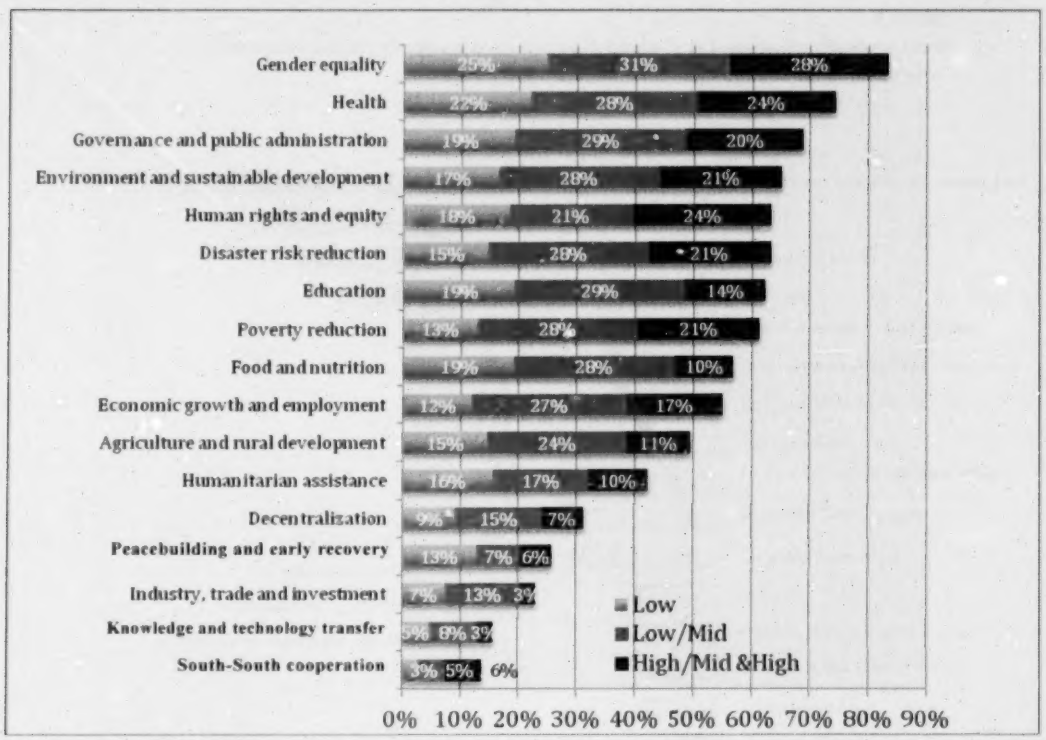
health (59 per cent) and environment and sustainable development (72 per cent). The responses are set out figure I below with a breakdown by country income group.

Figure I
**Most important areas for United Nations assistance (programme country Government survey, 2012)**




46. This data, along with the data in the following table, need to be interpreted with care, since many topics may contribute to poverty reduction, such as economic growth and employment. Some insights into the importance that United Nations entities at the country level give to the different topics may be drawn from the existence of outcome groups or theme groups, which enable the United Nations agencies at the country level to ensure coherence in their actions. Thus, the 2013 survey of resident coordinators asked which themes were covered by an outcome group or theme group. The responses are shown in figure II. To facilitate comparison, figure II includes the same themes as those in figure I, with the exception of South-South cooperation, which was added for the purpose of the 2013 resident coordinator survey.

Figure II
**United Nations priority areas covered by outcome groups or theme groups at the country level (resident coordinators, 2013)**




47. Comparing the results shown in the two figures, one may observe a broad measure of consistency between the areas Governments consider important and the areas to which United Nations country teams are, collectively, devoting significant efforts. Thus, 62 per cent of resident coordinators reported that poverty reduction was covered by a theme group, which may be compared with 54 per cent of programme countries stating this topic was an important one for the United Nations to address.

48. A number of areas were covered by a theme group more commonly than poverty reduction, including gender (91 per cent), governance (68 per cent), environment and sustainable development (65 per cent), disaster risk reduction (63 per cent) and human rights and equity (63 per cent). The comparatively high numbers in the latter areas should not necessarily be regarded as excessive, given the normative mandates of the United Nations and demand for normative-operational linkages, and the fact that these topics are cross-cutting as well as sector-based.

49. When the data is disaggregated according to income level, it emerges that only 50 per cent of low-income countries have a theme group on poverty reduction, while 73 per cent of lower middle-income countries and 61 per cent of upper middle-income countries have such theme groups. Further analysis would be required to

determine why a significant number of resident coordinators in low-income countries did not check poverty reduction.

50. In response to a question on poverty eradication in the 2013 survey of resident coordinators, two thirds of respondents "strongly agreed" that UNDAF (or equivalent instrument) placed sufficient emphasis on actions to empower the poor and people in vulnerable situations. This large measure of agreement indicates that United Nations country teams are effectively mandated to do this by the UNDAF guidelines. The fact that many country teams lack adequate disaggregated data in respect of several disadvantaged or vulnerable groups, as noted in the sub-section on gender equality and women's empowerment below, may suggest that the United Nations system faces challenges in this area.

51. This is among the several areas where desk reviews and independent evaluations of UNDAFs may produce more useful information than a general-purpose questionnaire. This topic may be added as a standard provision in UNDAF evaluation terms of reference.

## C. South-South cooperation

52. The numerous and wide-ranging South-South cooperation activities of United Nations organizations, specialized agencies, funds and programmes, and regional commissions reveal three common streams of deliberate efforts by the United Nations system over the reporting period. The first is the treatment of South-South cooperation as a matter of policy by not only giving it appropriate priority in decision-making, but also by mainstreaming the modality into their operational activities. UNDP, for example, is positioning South-South cooperation pre-eminently again in its strategic plan 2014-2017. The other two streams are the growing use of web-based platforms to foster the sharing of knowledge and experience and the establishment or strengthening of southern centres of excellence in strategic thematic areas. The regional commissions have also stepped up their efforts by committing to support more inter-regional South-South cooperation during the recent Joint Meeting of Executive Secretaries of Regional Commissions organized by the Economic and Social Commission for Asia and the Pacific in May 2013.

53. This period also witnessed good progress in enhancing United Nations system coordination and coherence in support of South-South cooperation, thanks to the preparation of the framework of operational guidelines of the Secretary-General on United Nations support to South-South and triangular cooperation by the United Nations Office for South-South Cooperation. The General Assembly High-level Committee on South-South Cooperation took note of the guidelines as a "living document" to help advance the mainstreaming of South-South cooperation into the operational work of the United Nations system. Some organizations, such as the International Labour Organization (ILO), have begun to translate and adapt the guidelines of the Secretary-General into their agency-specific operational instruments or guidelines. Inter-agency collaboration, especially in knowledge sharing and joint initiatives, has become more regularized and better structured. This is seen in the regular meetings of the South-South cooperation focal points organized by the United Nations Office for South-South Cooperation at its annual global South-South development expositions and through the leveraging of its services offered under its three-in-one multilateral South-South cooperation architecture.

54. The 2013 survey of resident coordinators asked whether there is evidence that the host Government provides or intends to provide development cooperation to other developing countries (for example, South-South cooperation or other peer-to-peer exchange platforms). Table 3 shows that countries in all regions are interested in providing South-South cooperation, particularly in Latin America and the Caribbean, where this percentage was 74 per cent.

Table 3
**Interest in enhancing South-South cooperation**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Yes | 13 | 9 | 16 | 21 | 7 | 72 |
| No | 5 | 7 | 6 | 14 | 3 | 35 |

55. While there is interest in providing South-South cooperation at all levels of development, the proportion of countries interested increases quite sharply with income, as table 4 shows.

Table 4
**Interest in enhancing South-South cooperation, by income level**
(Percentage of responses)

| | *Income level* | | | | |
|---|---|---|---|---|---|
| *Answer options* | *Low* | *Low/Mid* | *High/Mid* | *High* | *Response count* |
| Yes | 13 | 23 | 27 | 4 | 72 |
| No | 13 | 15 | 6 | 0 | 37 |

56. The resident coordinators who responded "yes" to the above question were asked a follow-up question: To what extent has the Government sought and received United Nations country team support in providing South-South cooperation? The results are shown in table 5.

Table 5
**Extent to which the Government has sought and received United Nations country team support in providing South-South cooperation**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| To a large extent | 8 | 3 | 11 | 11 | 3 | 26 |
| To a moderate extent | 10 | 8 | 7 | 13 | 3 | 29 |
| To a small extent | 1 | 3 | 4 | 3 | 4 | 11 |
| Not at all | 0 | 0 | 1 | 6 | 1 | 6 |

57. Overall, United Nations country teams appear to have been active in all regions in supporting South-South cooperation, particularly in Latin America and the Caribbean.

58. According to the results of the agency headquarters survey, the engagement of United Nations country teams in supporting South-South cooperation is backed by particular initiatives of some agencies that support the exchange of know-how and expertise in this area. A number of agencies offered examples on how they plan to follow up to paragraph 148 of General Assembly resolution 67/226, which called for a more collaborative approach in supporting country-level development initiatives, and for improved mechanisms to promote knowledge sharing through South-South cooperation or triangular schemes.

59. For instance, the UNFPA Latin America regional office recently launched a platform for the exchange of know-how and expertise for South-South cooperation among countries in the region. UNDP stated that its global centres of excellence and knowledge exchange networks are important vehicles for promoting South-South knowledge transfer. The model of supplementing regional and subregional programmes with peer-to-peer knowledge support networks is also a key ingredient in the UNDP approach to South-South exchange. In 2012 the ILO Governing Body adopted a strategy for technical cooperation on South-South and triangular cooperation. FAO further strengthened its commitment to South-South cooperation in 2012 by establishing a team within its South-South and Resource Mobilization Division that assists and develops member countries' capacities in South-South cooperation. WFP and the Government of Brazil have established a Centre of Excellence against Hunger that provides direct support for national capacity development through government to government learning exchanges.

## D. Gender equality and women's empowerment

60. The United Nations system-wide action plan has enhanced accountability for the work of the United Nations on gender equality and the empowerment of women. Following its endorsement by CEB in 2012, the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) coordinated the first reporting exercise with 55 entities, departments and offices of the United Nations system participating.

61. Programming to advance gender equality and women's empowerment calls for disaggregated data at the earliest stages of programme planning. The resident coordinators were therefore asked about the availability of disaggregated data at the UNDAF country analysis stage. As table 6 shows, the majority of the resident coordinators considered the availability of gender-disaggregated data to be at least somewhat adequate, but there is scope for improvement in that area. In particular, data disaggregated by gender tends to be less adequate than data disaggregated by income or age. This challenge is being addressed by the Inter-agency and Expert Group on Gender Statistics, which supports the work of United Nations country teams in this area, including by developing standards, methodological guideline and training manuals.

62. According to the survey of resident coordinators, approximately half of all United Nations country teams have completed the Performance Indicators for Gender Equality and the Empowerment of Women (Gender Scorecard). A further

quarter of resident coordinators stated that their United Nations country team intends to complete the exercise in the next two years. Another quarter have no plans to do so immediately. The UNDG Task Team on Gender Equality, led by UN-Women, periodically reviews the completed scorecards and the extent to which they contribute to better integrate gender equality in UNDAF.

Table 6
**Extent of United Nations country team access to adequate data, by category**
(Percentage of responses)

| *Answer options* | *Very adequate data* | *Somewhat adequate data* | *Somewhat inadequate data* | *Very inadequate data* | *Not applicable in this country* |
|---|---|---|---|---|---|
| Income level | 33 | 47 | 12 | 6 | 2 |
| Gender | 24 | 60 | 14 | 3 | 0 |
| Age | 33 | 55 | 8 | 4 | 0 |
| Disability | 2 | 37 | 36 | 25 | 1 |
| Minorities[a] | 6 | 41 | 20 | 26 | 6 |
| Indigenous peoples | 3 | 28 | 17 | 13 | 40 |

[a] Ethnic, religious, language, other.

63. The UNDG Task Team on Gender Equality recently mapped human resources working on gender equality, among other tasks, across the United Nations system at both Headquarters and in the field, including gender focal points staff and gender specialists or advisers. From preliminary findings based on responses from 125 out of 138 United Nations country teams and the vast majority of United Nations entities at headquarters level, it is estimated that there are over 3,000 professional staff in the United Nations system performing gender-related functions as part of their job responsibilities, of which approximately 70 per cent are based in the field. This number constitutes 7.9 per cent of total United Nations staff (professional and higher staff) and personnel. This reflects limited growth since 2003, when such staff was estimated to constitute 7.4 per cent of professional and higher staff. Nonetheless, the approach of gender mainstreaming among the agencies, funds and programmes means that gender concerns are usually considered a part of the terms of reference of all staff, irrespective of subject area.

64. Strengthening and sustaining coordination mechanisms is particularly important for gender responsive operational activities. Currently there are 106 theme groups on gender that support both internal United Nations country team coordination and dialogue with national partners and key stakeholders. No other thematic area features as many theme groups as gender equality. Gender equality is also the area in which the most programme countries, or 49, were reported to have one or more United Nations joint programmes. Gender equality was identified by resident coordinators more often than any other thematic area, with the exception of environment and sustainable development, as one where competition among United Nations agencies is observed. In the 2012 survey of United Nations country teams, gender equality was well down the list of areas where United Nations country team members had observed competition, after health (including HIV/AIDS), humanitarian interventions, environment, governance and food security. This apparent shift merits more in-depth analysis.

## E. Transition from relief to development

65. The 2013 survey of resident coordinators with respect to the impact of the integration policy of the Secretary-General on United Nations coherence showed a positive trend, indicating that the impact of the policy is gradually becoming more visible. A contributing factor may be the increased use of integrated strategic frameworks as a tool for agreeing on integration priorities and the roles and responsibilities of different actors across the United Nations system; 13 of the respondents in 2013 reported having such frameworks.

66. In terms of meeting the needs of post-conflict returnees (internally displaced persons and refugees), UNDP, UNHCR and the World Bank are participating in a joint programme in eastern Sudan, within the framework of the Transitional Solutions Initiative. Under the same initiative, UNDP and UNHCR are collaborating in the implementation of another programme in Colombia, while helping three other countries (Kyrgyzstan, Côte d'Ivoire and Afghanistan) to develop durable solution strategies for returnees. These activities are guided by Policy Committee decision 2011/20 on durable solutions in the aftermath of conflict.

67. Results regarding the coherence of support and guidance from headquarters show almost equal percentages stating that they had received coherent support to a "large/moderate" or "small" extent, respectively. This is the first time that the question has been asked in the survey of resident coordinators and the results will help provide a baseline for future monitoring.

68. The survey of agency headquarters acknowledged the role played by the UNDG/United Nations Executive Committee on Humanitarian Affairs Working Group on Transition in facilitating inter-agency collaboration in transition matters. To overcome remaining challenges, agencies mentioned that it will be important that all United Nations bodies that play a role in different transition phases and settings contribute their knowledge and experience on a regular basis to the work of the working group to ensure coherence and unity of purpose in these difficult and sensitive settings. While this group has institutionalized cooperation between Secretariat entities and the members of the United Nations development system, other groups such as the Integration Steering Group chaired by the Department of Peacekeeping Operations handle integration issues.

69. In view of the specific reference in paragraph 111 of General Assembly resolution 67/226 to "spillover effects", the 2013 survey of resident coordinators asked those working in transition country settings whether the United Nations system should be giving higher priority to preventing spillover effects in the region or subregion (for example, subregional strategy needed but not in existence). Thirty-seven resident coordinators responded to the question, with 68 per cent answering "yes", while the others answered "no" or "don't know". The proportion saying "yes" was highest in Africa and the Arab States regions, where it was 75 per cent.

70. The 2013 survey of resident coordinators also asked whether the host country has a disaster risk reduction strategy. The results are shown in table 7.

Table 7
**Country status on up-to-date disaster risk reduction strategy**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Yes | 15 | 8 | 12 | 17 | 2 | 58 |
| Yes, but it is over 3 years old | 2 | 3 | 6 | 8 | 3 | 24 |
| No | 1 | 6 | 3 | 10 | 6 | 27 |

71. Table 7 indicates that an overwhelming majority of countries in the Asia and the Pacific region, or 16 out of 19, have an up-to-date disaster risk reduction strategy.

# IV. Improved functioning of the United Nations development system

## A. United Nations Development Assistance Framework

### Country analysis

72. The UNDAF process generally begins with an evaluation of the previous phase (discussed in section IV.G) and an analysis of the country's needs and priorities. In the 2013 survey of 109 resident coordinators, almost half (51 countries, or 47 per cent) used the optional common country assessment process, while the other country teams arranged for complementary studies or analyses to be carried out. While there are many aspects to a sound situation analysis, for the current report, emphasis was placed on the availability of disaggregated data in view of the focus on this topic in General Assembly resolution 67/226.

73. Table 6 suggests that a majority of country teams had access to at least somewhat adequate data on age, income level and gender breakdowns, while data was lacking much more often in respect of disability, minorities and indigenous peoples. A not insignificant number of countries also lacked adequate data on the first three categories: for example, data disaggregated by gender was deemed at least somewhat inadequate by 18 resident coordinators. Considering the well-established importance of disaggregated data as a starting point for targeting programmes, there appears to be scope for the United Nations system to increase its support for the strengthening of national capacities in this area, as called for in paragraphs 61 and 90 of General Assembly resolution 67/226.

### UNDAF process

74. Among the 109 resident coordinators who responded to the survey, 93 are in a country with an UNDAF or alternative document ("One UN Plan" and "UN development cooperation strategy"). A further 13 resident coordinators were in a country where the principles of integration apply, using an integrated strategic

framework or a similar document; and three United Nations country teams opted not to prepare an UNDAF since they are located in relatively high-income countries with small core programmes. One "Delivering as one" country and two self-starter countries have a "common operational document of the UNDAF", and nine countries have developed a common country programme document. The common country programme document countries include three "Delivering as one" pilots, three self-starters and three others. It is also significant that the trend now is to prepare simplified and shorter UNDAF documents.

**Alignment with national needs and priorities**

75. A majority of resident coordinators (58 per cent) in the 2013 survey indicated that the United Nations was "very closely aligned" in terms of alignment with national needs and priorities. In responding to the same question in 2012, only some 23 per cent of programme country Governments judged that the United Nations was "very closely aligned". Among the "Delivering as one" pilot countries, however, 38 per cent of Governments stated that the United Nations was "very closely aligned".

76. The topic of the United Nations focusing on achieving the Millennium Development Goals was also covered in both the 2013 survey of resident coordinators and the 2012 survey of programme country Governments. In that regard, 60 per cent of Governments "strongly agreed" that the United Nations was focused on assisting the country to achieve the Millennium Development Goals; this compares with 70 per cent of resident coordinators who "strongly agreed" to the same statement in the 2013 survey.

77. The resident coordinators were also asked whether the UNDAF period is aligned with the Government's medium-term planning cycle (where applicable). The responses showed that there is alignment in 58 countries, but not in another 24 countries. The reasons given by resident coordinators for non-alignment of cycles are varied, but a fairly common theme was that the Government cycle is three or four years, or a period longer than five years, whereas the UNDAF duration is said to be fixed at five years. However, the 2010 UNDAF guidelines (Part I) call for synchronization of this instrument with the Government cycle without referring to a five-year period. The UNDAF guidelines could be amended to emphasize synchronization and clarify that there is no such requirement for five-year duration.

78. Another way of looking at alignment would be through the lens of how effective the United Nations system is at prioritizing its planned areas of intervention when preparing the UNDAF. The evidence suggests that country teams still see some challenges in this area. As was the case last year, the resident coordinators were asked whether they agreed or disagreed that, during UNDAF prioritization, agencies had agreed to refrain from activities that were important within their individual mandates and priorities, either because the issue was not a national priority or there was no clear United Nations comparative advantage. Only 31 resident coordinators, or 29 per cent, felt they could "strongly agree" with the statement. The difference with the previous year's survey is marginal, and not sufficient to establish yet that a real improvement has taken place.

79. The success of prioritization efforts may also be assessed from the extent to which resident coordinators reported that the outcomes of the United Nations agencies country programme were in line with the UNDAF outcomes. The

responses showed that the main specialized agencies tended to have outcomes outside the UNDAF more frequently than the funds and programmes. The major development-oriented funds and programmes had outcomes outside the UNDAF in 10 to 15 per cent of countries. At the other end of the scale, the resident coordinators reported that the major development-oriented funds and programmes had outcomes in their country programme documents that were identical to the outcomes in the UNDAF, in 17 to 30 per cent of programme countries (the percentage varies from one agency to the other). It can be expected that the introduction of One Programme under the "Delivering as one" standard operating procedures will drive the simplification of the UNDAF and bring with it the increasing use of such strong results chains. They are a valuable indicator of coherence, and will be tracked over the coming years.

**National ownership**

80. As an indicator of national ownership of United Nations system activities in the country, as well as of system-wide coherence, the resident coordinators were asked to provide information on the existence of a joint Government-United Nations Steering Committee (or a similar body) on the UNDAF (or equivalent instrument). Some 70 per cent of resident coordinators reported that such a body is in place. Among those, about half, or 53 per cent, had conducted an annual review of the UNDAF during the preceding 12 months. Many resident coordinators commented that a joint steering committee was currently being established in the context of a new UNDAF and in keeping with the "Delivering as one" One Programme standard operating procedures.

81. The existing 2010 UNDAF guidelines and the new "Delivering as one" programme standard operating procedures emphasize the centrality of national ownership by prescribing alignment of United Nations country programming tools with national plans and priorities. These guidelines will be revised, as needed, to reflect strong emphasis on the need for national ownership of country programming.

**UNDAF results groups**

82. The concept of "results groups" was introduced as part of the One Programme in the "Delivering as one" standard operating procedures. The standard operating procedures are expected to enhance the functioning of these groups and bring more coherence and increased results-orientation.

**Non-resident agencies**

83. The resident coordinators were asked whether the United Nations country team faced any specific challenges regarding participation in the UNDAF (or equivalent instrument) process by non-resident agencies. Forty-four resident coordinators, or 40 per cent, reported that they had faced some challenges. Difficulties in communicating effectively and in a timely manner were quite common, including some instances of lack of sharing of significant information. As participants in the resident coordinator system and the management and accountability system, and in the light of the emphasis on common budgetary frameworks in General Assembly resolution 67/226 on the quadrennial comprehensive policy review, it is expected that UNDG agencies now provide the resident coordinators systematically with information on funding commitments and programme implementation in the country.

84. While this year's survey has only the resident coordinators' perspectives on the topic, the survey in 2014 will be addressed to all members of United Nations country teams, including non-resident members.

**Cooperation with the multilateral development banks**

85. On the effectiveness of the overall cooperation between the United Nations country team and the Bretton Woods institutions, especially the World Bank, resident coordinators responded as follows (see table 8).

Table 8
**Level of effective cooperation between the United Nations country team and the Bretton Woods institutions, especially the World Bank, at the country level**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Very effective | 3 | 6 | 2 | 8 | 4 | 24 |
| Somewhat effective | 7 | 7 | 4 | 15 | 2 | 38 |
| Slightly effective | 6 | 3 | 9 | 10 | 3 | 33 |
| Not at all effective | 2 | 1 | 6 | 2 | 2 | 14 |

86. The above data presents a mixed picture, with some very effective cooperation, especially in Africa and the Europe and Commonwealth of Independent States region, and less effective cooperation in general reported in Latin America and the Caribbean. Overall the above data reflects an improvement in cooperation with the World Bank. In answering a corresponding question in the 2012 survey, only 5 per cent of resident coordinators assessed the cooperation with the World Bank as being "very effective".

87. The same question was asked in relation to the regional development banks.

Table 9
**Level of effective cooperation between the United Nations country team and the regional banks at the country level**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Very effective | 4 | 0 | 3 | 6 | 1 | 15 |
| Somewhat effective | 5 | 9 | 5 | 15 | 4 | 40 |
| Slightly effective | 6 | 6 | 9 | 10 | 4 | 38 |
| Not at all effective | 3 | 2 | 5 | 4 | 2 | 16 |

88. The picture here suggests that cooperation with the regional banks is somewhat weaker than with the World Bank. The same finding of somewhat less effective cooperation with regional banks than with the World Bank was also made in the 2012 survey of United Nations country teams.

**Simplification of the UNDAF process**

89. The General Assembly, in paragraph 117 of its resolution 67/226, explicitly requested the United Nations development system to simplify the UNDAF process in order to reduce the workload on national Governments and other stakeholders, decrease the time necessary for the preparation of relevant documents and ensure alignment with Government planning cycles, thus improving the focus on results and promoting better division of labour within the United Nations system at the country level.

90. The UNDG 2013-2014 workplan provides for action to simplify and improve the UNDAF process. Such a revision of the UNDAF guidelines is informed by the new processes and tools being developed in the standard operating procedures for "Delivering as one" countries. The simplification of the UNDAF process would have the following benefits: (a) reduction in the overall time to complete the UNDAF; and (b) reduction in staff resources invested in the UNDAF process (both for the Government and United Nations entities). In the agency headquarters survey, a number of agencies have stated their intention to follow a coordinated approach for the simplification of the UNDAF process, and specifically highlighted the endorsed standard operating procedures and the UNDG quadrennial comprehensive policy review Action Plan. Specific action to ensure alignment with Government planning cycles was not mentioned.

91. In the agency headquarters survey, a number of agencies also confirmed, in response to the request of the General Assembly in paragraph 119 of its resolution 67/226, that they are either in the process of simplifying programme and project management policies and processes in support of a further harmonization with the UNDAF and "delivering as one" processes or streamlining policies, procedures and guidelines to make them more in line with UNDG guidance.

**Common country programme documents**

92. An important element of recent efforts to enhance the coherence of operational activities of the United Nations system while reducing the transaction costs has been the preparation and submission to governing bodies of common country programme documents that incorporate the planned activities of all United Nations entities, or at least of those entities that are required to submit a country programme document to their governing body.

93. The General Assembly, in its resolution 64/289 on system-wide coherence, invited "those countries presenting a common country programme document on a voluntary basis to prepare it consistent with the United Nations Development Assistance Framework".

94. The number of Governments wishing to use a One Programme modality is likely to grow in the coming years. As reported in the 2013 survey, some 75 per cent of all programme countries are considering the "Delivering as one" approach to one extent or another. In this regard, the One Programme standards of procedures is a highly significant step forward towards greater coherence within the United Nations system.

95. The General Assembly, in paragraph 143 of its resolution 67/226, requested the Secretary-General to include in his annual report options for the review and approval of common country programme documents of the "Delivering as one"

countries, and to make appropriate recommendations for the consideration of the Economic and Social Council and the General Assembly by 2013.

96. Regarding options for common country programme documents, and in the light of the new standards of procedure for "Delivering as one", it is recommended that the issue of review and approval of common country programme documents be discussed within the UNDG prior to developing options on the way forward.

## B. Resident coordinator system

97. In response to the recognition of the General Assembly of the need to enhance the planning and coordination function of the resident coordinator, UNDG, as part of its 2013-2014 work plan, will update the roles and responsibilities of the resident coordinator to reflect decisions in resolution 67/226 on the quadrennial comprehensive policy review, and reflecting the responsibility and authority of the resident coordinators already provided by the Assembly under its earlier resolutions.

98. With a view to improving the coherence of United Nations operations at the country level and the resident coordinator system, and also as part of the management and accountability system it is envisaged that agencies, generally through their local representatives (country team members), will participate in the UNDAF (or equivalent instrument) and, among other actions, provide regular reports on funding commitments and programme implementation of their agency to the resident coordinator.

99. The resident coordinators were asked to indicate in which aspects of the resident coordinator system each agency was participating. The results in the two above-mentioned key performance areas are shown in table 10, which includes the agencies that participated in the UNDAF in at least 50 countries.

Table 10
**Participation of United Nations entities in key country-level processes**

| *Agency* | *Agency participates in UNDAF (or similar programme framework)* | *Agency provides regular reports on funding commitments* | *Agency provides regular reports on programme implementation* | *Indicator* |
|---|---|---|---|---|
| UNDP | 106 | 62 | 65 | 1.2 |
| UNAIDS | 88 | 28 | 41 | 0.8 |
| UNFPA | 104 | 38 | 48 | 0.8 |
| UNICEF | 105 | 35 | 45 | 0.8 |
| WFP | 68 | 22 | 24 | 0.8 |
| UNHCR | 77 | 23 | 28 | 0.7 |
| WHO | 99 | 28 | 38 | 0.7 |
| FAO | 98 | 26 | 32 | 0.6 |
| ILO | 86 | 20 | 30 | 0.6 |
| United Nations Human Settlements Programme (UN-Habitat) | 51 | 15 | 15 | 0.6 |
| UN-Women | 78 | 22 | 27 | 0.6 |

| *Agency* | *Agency participates in UNDAF (or similar programme framework)* | *Agency provides regular reports on funding commitments* | *Agency provides regular reports on programme implementation* | *Indicator* |
|---|---|---|---|---|
| United Nations Industrial Development Organization (UNIDO) | 71 | 14 | 19 | 0.5 |
| UNESCO | 85 | 13 | 24 | 0.4 |
| UNEP | 58 | 10 | 13 | 0.4 |

100. A simple indicator of the extent to which agencies are currently providing information as called for in the resident coordinator system is obtained by adding columns 3 and 4 and dividing by column 2. The results, in descending order, are shown in the table. With the United Nations resident coordinator also serving as the UNDP resident representative, UNDP is, at present, rated significantly higher than other agencies. General Assembly resolution 67/226 has made the provision of such information to the resident coordinator a requirement for United Nations funds and programmes in the context of the common budgetary framework, which should increase the level of compliance. The data in the table will serve as a baseline.

**Management and accountability system**

101. To enhance the effectiveness of the resident coordinator system, UNDG instituted a management and accountability system in 2009. Most elements of the system have been implemented by members of UNDG in the intervening period to varying degrees. Some United Nations organizations that have yet to implement the action points related to mutual accountability have committed to do so by 2014. Resident coordinators express concern that the performance evaluation process continues to be one-sided: that is, the agency representatives evaluate them, but they do not have an opportunity to evaluate the agency representatives.

102. The agency headquarters survey showed that the majority of responding agencies now have a standard job description of a country representative that includes a specific reference to their role in supporting the resident coordinator system, and that the support to the resident coordinator system is one of the key annual performance targets of the country representatives. Most of the agencies also confirmed that it is the policy of their organization to obtain a formal input from the resident coordinator to the annual performance assessment of the country representative. The responses are presented in table 11 in respect of agencies that were members of at least 50 country teams,[4] according to the resident coordinators who answered the resident coordinator survey.

103. These answers regarding the established agency policy are only partly reflected in the results of the resident coordinator survey. Resident coordinators have indicated that there are still considerable differences between United Nations entities in the application of these policies at the country level. The independent review of the management and accountability system conducted in 2011 made the same finding.

104. The overall conclusion to be drawn from the data is that the management and accountability system is progressively coming into effect. Resident coordinators are

[4] Three specialized agencies that also have over 50 members of United Nations country teams are not included here because the relevant responses had not been received from them at the time this report was prepared.

now providing an input to the appraisal of the performance of the country representatives of every agency listed above, although not yet in a majority of countries. According to the UNDG Working Group on Resident Coordinator System Issues, as at June 2013, 9 agencies had reported full implementation of the four mutual accountability criteria identified by the management and accountability review, 10 agencies had reported partial implementation and 1 agency had reported no implementation. In view of the agency headquarters reports that they are progressively implementing their commitments under the system, and the importance that UNDG has placed in ensuring full implementation of the management and accountability system, it may be expected that the rating of most if not all agencies will steadily go up in the coming years.

Table 11
**Participation of United Nations entities in the management and accountability system and perception of the effectiveness of the "functional firewall" (agency headquarters reports)**

| *Agency* | *No. of United Nations country teams of which agency is a member (out of 109 — resident coordinator survey)* | *Has up-to-date job description reflecting role vis-à-vis the resident coordinator* | *United Nations country team results are captured in member's own performance appraisal system* | *Resident coordinator asked to provide formal input to United Nations country team member's performance appraisal* | *How effectively the functional firewall is working* |
|---|---|---|---|---|---|
| UNDP | 103 | Yes | Yes | Yes | Very effectively |
| UNFPA | 101 | Yes | Yes | Yes | Somewhat effectively |
| UNICEF | 101 | Yes | Yes | Yes | Somewhat ineffectively |
| UNAIDS | 81 | Yes | Yes | Yes | Adequate |
| FAO | 90 | Not yet — being prepared | Will be required from 2014 | Will be required from 2014 | Somewhat ineffectively |
| UNHCR | 78 | Yes | No data | Sometimes | No data |
| UNESCO | 75 | Yes | Yes | No | Somewhat effectively |
| UN-Women | 64 | Yes | Not yet — being prepared | No | Somewhat ineffectively |
| WFP | 67 | Yes | Yes | Yes | Somewhat ineffectively |

**The "functional firewall"**

105. UNDP fulfils the role of manager of the resident coordinator system, while being a United Nations programme in its own right, and the resident coordinator also serves as the UNDP resident representative. This arrangement can be helpful to a resident coordinator, as he or she is backed by the funding and operational resources of a major programme. At the same time, it requires safeguards to ensure that a resident coordinator does not serve UNDP preferentially over the other agencies in the country.

106. For this reason, as part of the management and accountability system, clear division of labour and accountability lines have been established between the resident coordinator and UNDP resident representative functions. This is referred to as the "functional firewall". The resident coordinator is expected to focus on strategic positioning of the United Nations country team and member organizations, and as UNDP resident representative to provide overall guidance for UNDP. This means, among other things, that the resident coordinator is expected to delegate as much authority as possible to the next most senior UNDP official, usually a country

director or a deputy resident representative, on the day-to-day management of UNDP and particularly in regard to resource mobilization, and also that UNDP headquarters refrains from considering resource mobilization on behalf of UNDP when assessing the performance of resident coordinators/resident representatives. To this end and in accordance with the UNDG agreed management and accountability framework, the job descriptions of resident coordinators, UNDP resident representatives and country directors were revised. UNDP country directors are responsible for all UNDP day-to-day activities, are full members of the United Nations country team and are also responsible for UNDP resource mobilization at the country level.

107. In this context, the resident coordinators were asked in the 2013 survey whether any concerns about the "functional firewall" had been raised by any agency in the country in the past 12 months, and if so, to elaborate. Twenty resident coordinators, or 18 per cent, answered "yes", but without concrete explanations. While only 18 per cent of resident coordinators overall reported concerns about the firewall, the figure was higher, at 28 per cent, among the countries with the smallest United Nations programmes. Only three of the countries with small programmes have a UNDP country director. From the survey of all United Nations country team members conducted in 2012, it is known that, at least at that time, there was a concern to see the firewall working better. Therefore, a question on the firewall will be included when country team members are surveyed in 2014.

108. The concern for an improved functional firewall is supported by the findings of the agency headquarters survey. The agency headquarters perspectives on the firewall are set out in the right-hand column of table 11.

**UNDP country director positions**

109. The existence of a UNDP country director position is generally thought to enable a resident coordinator to devote the great majority of his or her time to performing resident coordinator functions, thereby enabling the "firewall" to work well. As at 2013, UNDP has in place 51 country director positions.

110. Among the resident coordinators who completed the survey, 41 reported that they have a UNDP country director and 71 that they have a UNDP deputy resident representative. Some countries with large programmes have both. It is understood that UNDP has not been able to appoint more country directors owing to additional costs. The establishment of country director posts is largely determined by programme size and financial feasibility of establishing such posts.

111. The resident coordinators in countries where there is also a UNDP country director were specifically asked whether the presence of a country director was important to ensuring that the functional firewall works well; 76 per cent of the resident coordinators responded that it was "very important", and 14 per cent responded "somewhat important".

112. The resident coordinators with a deputy resident representative were asked if they would be in favour of UNDP appointing a country director even if that person had to cover more than one country. The resident coordinators in 28 countries said "yes" and those in the other 39 countries said "no". Among the countries with the smallest United Nations programmes, there was stronger support for the idea.

113. The specific issue of fund-raising was also raised, with a question about the extent to which responsibility for resource mobilization on behalf of UNDP is delegated to the country director, the deputy resident representative or senior-most UNDP official. The responses are shown in table 12. Twelve resident coordinators reported that the fund-raising function was "completely" delegated, and a further 53 reported that it was delegated "to a large extent". That left 43 resident coordinators for whom delegation of authority was at most "moderate", including from even some countries with large programmes. This data would suggest that further efforts are needed to ensure the "firewall" is working as well as intended, as a number of agencies have stated.

Table 12
**Extent to which responsibility for resource mobilization on behalf of UNDP is delegated**
(Percentage of responses)

| | *Programme size* | | | |
|---|---|---|---|---|
| *Answer options* | *Largest* | *Middle* | *Smallest* | *Response count* |
| Completely | 6 | 3 | 2 | 12 |
| To a large extent | 18 | 13 | 19 | 53 |
| To a moderate extent | 6 | 10 | 7 | 25 |
| To a small extent | 1 | 4 | 6 | 11 |
| Not at all | 1 | 0 | 0 | 1 |
| Not applicable | 0 | 3 | 3 | 6 |

**Code of conduct**

114. In the last few years, UNDG has encouraged country teams to develop a code of conduct to reflect their commitment to work in a cooperative way, and in particular to implement the provisions of the resident coordinator system and the management and accountability system. Through the 2013 survey, the resident coordinators reported that the United Nations country teams have a code of conduct in 45 countries, while they do not have one in 64 countries. In principle, the existence of a code of conduct may signal a firmer commitment to work coherently. However, there is no correlation at present between the existence of a code of conduct and the extent to which agencies are perceived to compete with one another.

115. The existence of a code of conduct does, however, appear to be correlated with participation in the management and accountability system. In countries where there is a code of conduct, it is considerably more likely that United Nations country team members will have United Nations country team results captured in their own performance appraisal system, and that the resident coordinator will have provided a formal input to United Nations country team members' performance appraisal. The UNDG is currently developing guidance for United Nations country teams on how to design codes of conduct, including a collection of best practices from those country offices that already have one in place.

**Competition for donor funds**

116. As was done in the programme country Government and United Nations country team surveys in 2012, the resident coordinators were asked to what extent agencies in the country were seen to be competing for donor funding. The results from this year's survey, broken down according to the country's income level, are shown in table 13.

Table 13
**Extent of competition among United Nations agencies for donor funding**
(Percentage of responses)

| | *Income level* | | | | |
|---|---|---|---|---|---|
| *Answer options* | *Low* | *Low Mid* | *High Mid* | *High* | *Response count* |
| To a large extent | 6 | 7 | 4 | 1 | 20 |
| To a moderate extent | 10 | 17 | 16 | 0 | 46 |
| To a small extent | 8 | 13 | 11 | 0 | 35 |
| Not at all | 1 | 1 | 3 | 3 | 8 |

117. Table 13 suggests that the perception of competition is often considerable, which tends to confirm the results in the surveys in 2012. The results are not strictly comparable, however, because in 2012 there was simply a yes/no option; the graduated scale of this year's survey is expected to make it easier to monitor progress over time. It can also be seen from the above table that competition tends to decline as the income level of the country rises.

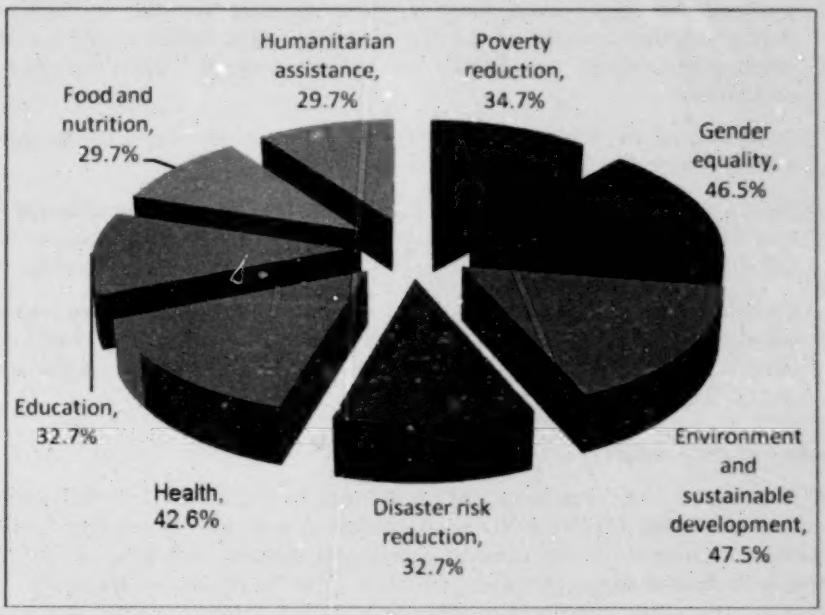
118. On the question of whether competition is judged to have had an adverse effect, data was obtained in the 2013 survey, as well as in the 2012 surveys. The latest data is given in table 14. (Resident coordinators were invited to check all statements that apply; resident coordinators who indicated above that there was no competition in their country did not answer the question.) Table 14 shows that there was no significant change in the perceptions of the resident coordinators on the effects of competition, though significantly more of them judged that agency competition increases the workload on government officials. To this extent, their views became more closely aligned with the views of programme country Governments, as reported in 2012.

Table 14
**Views of resident coordinators on competition among agencies for donor funding**

| *Answer options* | *Percentage of resident coordinators in 2013* | *Percentage of resident coordinators in 2012* | *Percentage of Governments in 2012* |
|---|---|---|---|
| Competition among United Nations agencies is healthy and the Government welcomes it | 7 | 7 | 16 |
| Competition among United Nations agencies creates confusion for the Government | 80 | 79 | 60 |
| Competition among United Nations agencies increases the workload on Government officials | 61 | 41 | 56 |
| Competition among United Nations agencies diverts the agencies' attention from the main tasks of providing support to the country | 61 | 64 | 62 |

119. The resident coordinators were also invited to mention the thematic areas where they had observed competition. The results are shown in figure III (the thematic areas are those that were selected the most frequently; that is, by at least 30 resident coordinators; the percentages reflect the percentage of all those who answered the question).

Figure III
**Areas where resident coordinators observe competition for funding among agencies**




120. As was the case in 2012, resident coordinators frequently mention humanitarian assistance and disaster risk reduction, even though these are areas that may not feature prominently among the priorities of most programme countries. Accentuating the challenge is the fact that the volume of funding in these areas can be very large.

**Recruitment and professional competencies of resident coordinators**

121. In its resolution 67/226, the General Assembly called on the United Nations development system to "improve the way individuals are attracted, selected, trained, appraised and retained within the resident coordinator system". The resident coordinators were invited to each suggest one measure they believed would most help to improve the situation in this regard; 93 resident coordinators made such a suggestion. Among the more common themes raised were: providing the resident coordinator offices with adequate resources enhancing the authority of resident coordinators; providing resident coordinators with a more reliable career path; ensuring that family concerns are taken into account; and ensuring more consistent implementation of the management and accountability framework.

122. One of the UNDG deliverables for the period 2013-2014 is to improve the recruitment, the training, the appraisal and the retention of resident coordinators with a focus to achieve geographical, gender and agency diversity. Several activities will achieve this deliverable as follows:

- Strengthening the Resident Coordinator Assessment Centre as a tool to develop a pool of qualified candidates with the required skills and profiles
- Updating the roles and responsibilities of the resident coordinator to reflect quadrennial comprehensive policy review directives aimed at enhance the planning and coordination function of the resident coordinator, including through the full exercise of the responsibility and authority of the resident coordinators already provided by the General Assembly under its relevant resolutions
- Development of a proposal for the creation of non-financial incentive mechanisms for resident coordinators
- Development of a comprehensive lifelong, role-based learning programme for resident coordinator/humanitarian coordinator/designated official with an aim to equip them to effectively address all the tasks inherent to their functions
- Completing the improvements to the performance appraisal system for resident coordinators and United Nations country teams; UNDG has already made improvements to the performance appraisal system of resident coordinators and United Nations country teams in 2012.

**Funding of the resident coordinator system**

123. In response to Economic and Social Council resolution 2011/7 and General Assembly resolution 67/226, UNDG has conducted a review of existing funding modalities in support of the resident coordinator system, including options for system-wide cost-sharing. In order to improve the provision of resources and support to the resident coordinator system and as a reflection of the fact that while the management of the resident coordinator system is anchored in UNDP, it is owned by the whole United Nations system, it has been recommended that current ad hoc arrangements and requests for funds be replaced with a centralized, predictable funding modality in support of the resident coordinator system at global, regional and country levels starting in 2014.

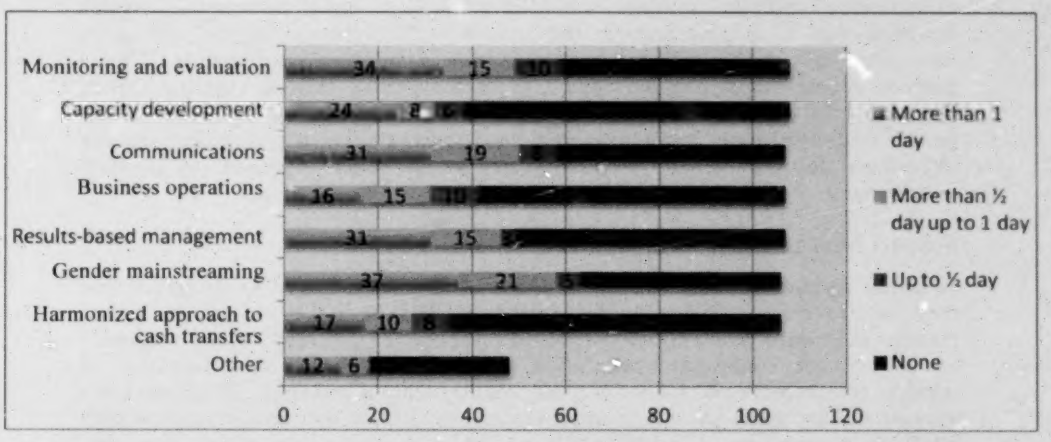
124. The global funding amount that has been agreed to support the resident coordinator system amounts to $121 million annually, which is equivalent to 0.7 per cent of development-related activities of the United Nations in 2011. As the manager of the resident coordinator system, UNDP would continue to fund the resident coordinator system at the level of some $88 million annually. The remaining amount would be cost-shared by members of UNDG, including UNDP. The cost-sharing would be based on a formula taking into account (i) an annual base fee, as a reflection that the resident coordinator system is owned by and benefits all members of the United Nations development system; (ii) agency staff size and expenditures; and (iii) system load as measured by agency participation in UNDAFs. Organizations that already contribute to humanitarian coordination mechanisms would contribute on the basis of their development portfolio and taking into account the fact that they already contribute to humanitarian-related coordination work.

125. UNDG member entities would be expected to start contributing the amounts agreed by them and their governing bodies or, for those agencies whose next budget cycle starts later, the first budgetary opportunity thereafter. A financial management system will be put in place to ensure the accountability and the transparency of the central financial system and to allow for measuring return on investment. UNDG will continue to review its business model and seek efficiencies to ensure the resident coordinator system remains as effective as possible.

**Joint training arranged by United Nations country teams**

126. The General Assembly, in its resolution 67/226, called for "enhanced emphasis on joint training across agencies" in order "to provide effective capacity development and other support in response to national needs priorities and challenges". The resident coordinators were accordingly asked about joint training that had been arranged by the United Nations country team in the past year. The results are shown in figure IV (where the left hand column depicts the number of resident coordinators who selected each response).

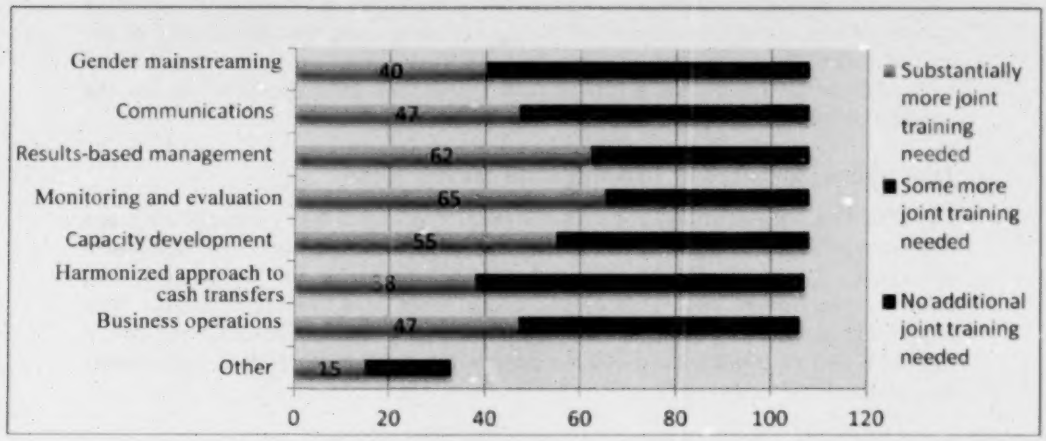
Figure IV
**Joint training arranged by United Nations country teams in 2012 (responses from 109 resident coordinators)**




127. In the majority of countries (70 and 71, respectively), there were no joint trainings on capacity development and harmonized approach to cash transfers in the year under review. Gender mainstreaming was the area where there had been the most joint training.

128. The resident coordinators were also asked for their assessment of the need for additional joint training. The responses are shown in figure V.

Figure V
**Need for additional joint training within the United Nations country team**




129. Among the options presented in this question, monitoring and evaluation and results-based management emerge as the areas in which there is the greatest interest on the part of resident coordinators in joint training. As noted in other parts of this report, as well as in the reports on the surveys in 2012, monitoring and evaluation and results-based management are areas where resident coordinators, United Nations country team members and Governments alike believe that the United Nations system can do better. Similar remarks apply to capacity development and gender mainstreaming, with Governments being particularly focused on the importance for the United Nations system to do better in regard to capacity development.

### Support from headquarters

130. The resident coordinators were asked whether they agreed or disagreed that they receive clear strategic guidance from UNDG on issues related to United Nations coherence at the country level. In response, 25 per cent "strongly agreed" and 50 per cent "somewhat agreed". The same question was asked in the survey of resident coordinators and United Nations country team members in 2012, and there appears to have been an overall improvement in 2013 in this area compared with 2012.

Table 15
**Clear strategic guidance to resident coordinator office from UNDG on issues related to United Nations coherence at the country level**
(Percentage of resident coordinators selecting each option)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Strongly agree | 2 | 6 | 4 | 13 | 1 | 27 |
| Somewhat agree | 8 | 6 | 12 | 17 | 7 | 54 |
| Somewhat disagree | 6 | 6 | 12 | 17 | 7 | 24 |
| Strongly disagree | 1 | 0 | 2 | 0 | 0 | 3 |

131. Several resident coordinators noted that heads of agency at the country level were not receiving comparable messages from their own headquarters.

132. The resident coordinators were also asked about the support that the United Nations country team received from the UNDG regional team in the last year. The findings are shown in table 16.

Table 16
**Level of effective support received by the United Nations country team from the UNDG regional team in the last year**
(Percentage of resident coordinators selecting each option)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Very effective | 2 | 3 | 5 | 6 | 2 | 19 |
| Somewhat effective | 6 | 9 | 8 | 15 | 3 | 45 |
| Slightly effective | 6 | 4 | 4 | 6 | 5 | 25 |
| Not at all effective | 4 | 1 | 5 | 8 | 0 | 19 |

133. Although no direct comparison is possible, as this question was not structured in the same way as the previous question, the overall assessment of regional teams appears somewhat less favourable than that of headquarters.

134. Resident coordinators were also asked to assess the effectiveness of the support they had received from headquarters on the specific topic of "Delivering as one". Fifty-five resident coordinators, or 51 per cent, responded to this question. The results are shown in table 17. On this topic, the headquarters support is judged to have been less effective than the overall support as reported in the two preceding questions, This situation is expected to improve in the light of the encouragement given by the General Assembly to "Delivering as one".

Table 17
**Level of effective support on "Delivering as one" received by resident coordinators from headquarters**
(Number of resident coordinators selecting each response option)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Very effective | 4 | 0 | 4 | 2 | 2 | 6 |
| Somewhat effective | 4 | 5 | 5 | 15 | 2 | 17 |
| Slightly effective | 9 | 7 | 5 | 20 | 4 | 25 |
| Not at all effective | 5 | 0 | 2 | 4 | 2 | 7 |

135. Finally, the resident coordinators were invited to comment freely on what they believe is required to ensure "the highest level of coherent, relevant, effective and efficient support from the UNDG/Development Operations Coordination Office and

the UNDG regional team" to the United Nations country team in their country. Contributions were received from 88 resident coordinators. Many resident coordinators expressed a desire for better communication, through e-mail, telephone calls and visits by regional team members. They called for more active support that is tailored to their needs, with more knowledgeable and responsive staff in the regional team and the UNDG/Development Operations Coordination Office. Such support would include sharing best practices and support or training in areas that include "Delivering as one", strategic analysis, results-based management, monitoring and evaluation, capacity development and resource mobilization. There is also a need to obtain the views of UNDG regional teams, and this will be done in the subsequent reports.

136. Another common theme to the comments was the importance of agencies making more progress on simplification and harmonization, including "Delivering as one", and sending consistent messages on policy, programme and operational matters from both their headquarters and regional offices. Many resident coordinators also stressed the need for stable funding and staffing of resident coordinator offices. Other issues raised by resident coordinators were ensuring the accountability of senior headquarters staff, empowering the resident coordinator, implementing the management and accountability system, and assigning more staff to UNDG/Development Operations Coordination Office. The activities under way in UNDG regarding "Delivering as one" and the management and accountability system and the initiative on funding the resident coordinator system should help address some of these concerns.

**Delegation of authority**

137. The resident coordinators in the 2013 survey were asked to provide their assessment of the extent to which each member of the country team enjoyed adequate delegated authority to make decisions on behalf of their agency at country team meetings. The results are shown in table 18 in respect of the agencies that were reported to be members of at least 30 country teams.

Table 18
**Extent to which resident coordinators consider that United Nations country team members enjoy adequate delegated authority to allow timely decision-making at country team meetings**

| *Agency* | *Member of the United Nations country team* | *Very adequate delegated authority* | *Somewhat adequate delegated authority* | *Somewhat inadequate delegated authority* | *Very inadequate delegated authority* | *Not applicable or insufficient information* | *Response count* |
|---|---|---|---|---|---|---|---|
| FAO | 90 | 30 | 31 | 17 | 9 | 20 | 107 |
| ILO | 72 | 21 | 22 | 13 | 19 | 32 | 107 |
| Office for the Coordination of Humanitarian Affairs | 38 | 20 | 18 | 2 | 0 | 66 | 106 |
| UNAIDS | 81 | 39 | 33 | 7 | 5 | 22 | 106 |
| UNDP | 103 | 90 | 15 | 0 | 1 | 2 | 108 |
| UNESCO | 75 | 11 | 32 | 16 | 10 | 38 | 107 |
| UNFPA | 101 | 60 | 32 | 6 | 3 | 6 | 107 |
| UNHCR | 78 | 47 | 23 | 6 | 2 | 27 | 105 |

| Agency | Member of the United Nations country team | Very adequate delegated authority | Somewhat adequate delegated authority | Somewhat inadequate delegated authority | Very inadequate delegated authority | Not applicable or insufficient information | Response count |
|---|---|---|---|---|---|---|---|
| UN-Habitat | 40 | 9 | 21 | 9 | 4 | 61 | 104 |
| UNICEF | 101 | 78 | 23 | 2 | 1 | 2 | 106 |
| UNIDO | 52 | 10 | 25 | 9 | 4 | 56 | 104 |
| UN-Women | 64 | 30 | 28 | 6 | 6 | 35 | 105 |
| WFP | 67 | 46 | 22 | 3 | 0 | 34 | 105 |
| WHO | 98 | 47 | 31 | 20 | 5 | 3 | 106 |

138. Comparing the third column with the second column, which is the number of times agency representatives were deemed to have "very adequate" authority with the total number of country teams of which they are a member, one may see that the agencies with the largest field presence, UNDP and UNICEF, are judged to have the most delegated authority. At the same time, it is evidently not possible to explain the great variations among agencies only on the basis of the number of United Nations country teams of which they are a member.

139. The resident coordinators were invited to indicate the factors they thought could influence the extent of delegation of authority to country representatives in the future. Eighty-one resident coordinators responded, with one of the main points being the need for UNDG and/or the High-level Committee on Management to develop clear policies and guidelines on this subject. In some cases it was observed that the local agency representatives might not be senior enough, or were non-resident.

140. In the agency headquarters survey, a number of responding agencies stated that there were concrete instances where greater authority to make decisions on programmatic or financial matters was delegated to the field, either as a general policy or in response to a specific request from a programme country. From the examples mentioned, it appears that the delegation of authority to field representatives is highly agency-specific and depends greatly on the seniority of individual agency representatives, confirming the resident coordinators' comments. While individual agencies provided examples of a higher decentralization through increased authorities at the country level, a harmonized approach across the United Nations system may be required in this area.

141. In this regard, the agency headquarters survey asked specific questions related to the authority delegated to field representatives. According to the survey results, agencies still differ widely in the delegation of authority to field representatives. This includes the authority to substitute a multi-entity programme or project work plan, budget or results report for the respective organization's programme or project work plan, budget or results report.

142. Since it is obviously not feasible for every agency to have a critical mass of senior staff in every country, the General Assembly has repeatedly urged the United Nations system to facilitate arrangements whereby a resident agency hosts a non-resident one. Resident coordinators were asked in the 2013 survey whether any such arrangements had been made in the last year in their respective country. Only 15 per cent of resident coordinators answered "yes". Among those who did, most arrangements involved either UNDP or the resident coordinator office as the host. Single instances of WHO and UNICEF hosting UNAIDS, FAO hosting IFAD, and

UNESCO hosting OHCHR were also mentioned. Not all these arrangements had been concluded in the last year, however. Overall, there appears to be room for the United Nations system to do considerably more in this area.

## C. "Delivering as one"

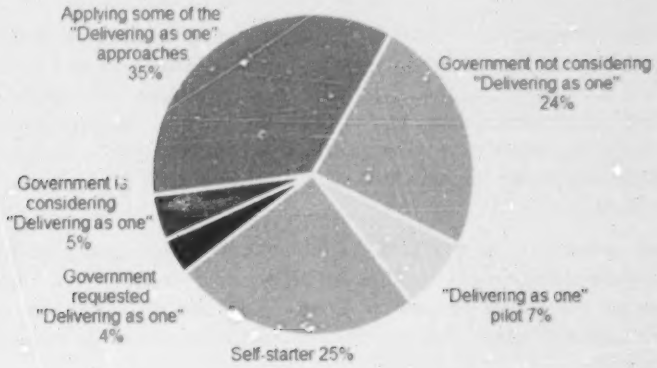
143. As reported in the report of the Secretary-General on the quadrennial comprehensive policy review (A/67/93-E/2012/79) in 2012, the "Delivering as one" approach was subject to an independent evaluation that found that the voluntary adoption of the approach had brought a number of benefits, including enhanced ownership by Governments of programme countries, and greater responsiveness of the United Nations system to the specific needs and priorities of the pilot "Delivering as one" countries, including least developed and middle-income countries.

144. It was also reported that while other United Nations reform initiatives have focused on specific aspects of programming, funding, management and accountability, "Delivering as one" was unique in that it considered all these aspects in an interlinked package. The package also comprised a variety of other innovations that were potentially useful for the United Nations development system as a whole, for example, new ways of dealing with joint programmes and joint programming, shared monitoring systems, local joint procurement, common communication strategies and United Nations country team codes of conduct.

145. At the same time, it was noted that the "Delivering as one" approach has not led to one line of accountability. Given the fact that each United Nations organization has its own governance structure, mandate and culture, individual agencies remained the primary unit of account for performance and management. Vertical accountability was seen to prevail over horizontal accountability.

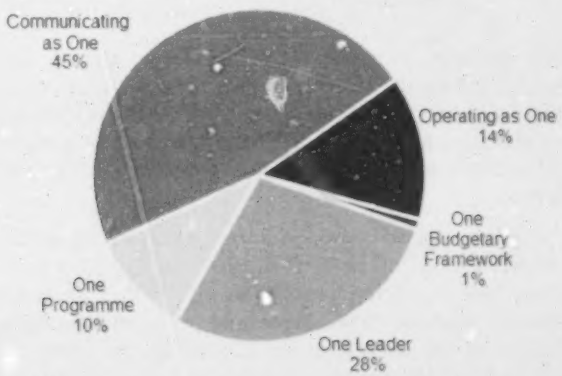
146. In view of the promising aspects of "Delivering as one", many programme countries besides the original eight pilot countries have begun applying some of the good practices inherent in "Delivering as one". The 2013 resident coordinator survey revealed that, besides the original 8 "Delivering as one" countries, 76 other countries are applying this approach to some extent or are considering it (see fig. VI). In only 27 countries, or 25 per cent of all United Nations programme countries, was the Government reported not to be considering the "Delivering as one" approach. The resident coordinators who mentioned that their countries are applying some of the "Delivering as one" practices were also asked to identify which aspects. Their responses are shown in figure VII.

Figure VI
**Country status on the "Delivering as one" approach**


Applying some of the "Delivering as one" approaches 35%
Government not considering "Delivering as one" 24%
Government is considering "Delivering as one" 5%
Government requested "Delivering as one" 4%
"Delivering as one" pilot 7%
Self-starter 25%

147. The standard operating procedures for countries wishing to adopt the "Delivering as one" approach were approved by UNDG in March 2013, and detailed guidance will be available to entities in the fourth quarter of 2013. The detailed guidance will provide relevant details on the One Programme, the common budgetary framework, One Fund, One Leader, Operating as One and Communicating as One.

Figure VII
**"Delivering as one" approaches being used in countries not fully adopting "Delivering as one" (38 resident coordinators reporting)**




148. As part of the detailed guidance, common monitoring, evaluation and reporting mechanisms will also be provided. The guidance will be developed with a view to addressing the bottlenecks and challenges that have been identified in the implementation of the "Delivering as one" approach, including in the independent "Delivering as one" evaluation.

149. The standard operating procedures are intended to ensure a focus on results, strengthened accountability and improved outcomes. Through the standard operating procedures, UNDG will have a flexible set of guidelines that can be applied by

United Nations country teams in a range of different country situations, where the decision to engage in a "Delivering as one" approach has been agreed with the host Government.

150. The implementation of the standard operating procedures will result in three significant advances: (a) a shift in emphasis from the United Nations system planning together to delivering results together, with emphasis on simplification and streamlining of processes and instruments; (b) a focus on accelerating business practice reform in support of driving an effective results agenda; and (c) prioritization of critical actions to be implemented at the headquarters level across the United Nations system.

151. A key element in the standards of procedures is the priority of linking multi-year strategic business plans to support programme delivery. As United Nations country teams are preparing new UNDAFs, they are also developing integrated business strategies to ensure that programmes are delivered in the most effective and efficient manner.

152. The agency headquarters survey revealed that the strong emphasis on the recently endorsed standard operating procedures requires efficient and effective follow-up at the agency level to review and adapt existing agency-specific policies. For instance, UNDP is ready to revise its country programme procedures and UNFPA confirmed its plan to update its policies and procedures to reflect the standard operating procedures. This includes a recent revision of the UNFPA evaluation policy.

153. It also emerged from the resident coordinator survey that in 25 countries the UNDAF was prepared in the first half of the final year of the previous UNDAF, as provided for in the "Delivering as one" standard operating procedures, and this was before the procedures had even come into effect. The increase in the number of such cases may indicate progress towards greater United Nations coherence at the country level.

154. The standard operating procedures for "Delivering as one" enshrine and build upon what is already "good practice" in a number of countries, particularly in terms of coherence and results-orientation. The common budgetary framework is an example of existing good practice. A further example is the concept and practice of theme groups being led by a full member of the United Nations country team, a practice that is already widespread.

155. The development and use of joint resource mobilization strategies, as complementary to agency-specific efforts in this area, has also been included as an element in the standard operating procedures. UNDG is currently initiating the collection of lessons learned, experiences and relevant documentation on joint resource mobilization at the country level. Following this study, UNDG guidance will be developed, highlighting the key elements and good practices in terms of joint resource mobilization.

## D. Regional dimensions

156. The General Assembly, in paragraphs 148 and 150 of its resolution 67/226, called on the regional commissions and the United Nations development system at the regional level to intensify their cooperation and to adopt more collaborative approaches to support country-level development initiatives, at the request of recipient countries, in alignment with the United Nations Development Assistance Framework.

It urged the regional commissions and their subregional offices to prioritize sustainable development initiatives at the country level through, among other actions, the development and implementation of regional agreements and arrangements addressing the regional and subregional dimensions of national development goals. It further encouraged resident coordinators and United Nations country teams to draw more on the normative support work and policy expertise that exists within the regional commissions.

157. For the present report, the regional commissions informed that they continue to work closely with United Nations partners, including United Nations Development Group Regional Teams. This includes the work of regional coordination mechanisms in developing, for example, joint strategic policy frameworks and collaborative analytical products to increase the effectiveness of the support provided to United Nations country teams and enhance the linkages between regional and country level work. The Economic Commission for Africa (ECA), for example, is working with partners on establishing subregional regional coordination mechanism in all the five subregions in Africa by the end of 2013 in an effort to increase it effectiveness and efficiency in providing support to country initiatives.

158. The survey of programme country Governments in 2012 and the surveys of United Nations country teams and resident coordinators in 2012 and 2013 tend to suggest that regional commission support at the country level has been moderately effective. For example, 36 per cent of countries indicated in 2012 that the regional commission had made a "very significant" contribution to the country's development. In 2013, the resident coordinators were asked about both recent performance and how they perceived the potential of the regional commissions in relation to the needs of their country or country team. The first question asked how effective was the support received by the United Nations country team from the regional commissions over the past two years. The results are shown in table 19.

Table 19
**Support from regional commissions to United Nations country teams**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Very effective | 1 | 1 | 2 | 2 | 0 | 6 |
| Somewhat effective | 1 | 6 | 3 | 10 | 0 | 22 |
| Slightly effective | 6 | 2 | 5 | 10 | 5 | 29 |
| Not effective at all | 4 | 5 | 6 | 7 | 2 | 26 |
| Do not know or insufficient information available | 6 | 3 | 6 | 6 | 4 | 26 |

159. To the extent that regional commissions have, as one of their objectives, to make a substantive contribution to United Nations country level operations, the data in table 19 indicates that there is space for improvement. In two regions, namely Africa and Europe and the Commonwealth of Independent States, out of five, a majority of the resident coordinators rate the regional commissions as at least "slightly effective".

160. The results of the question: "Based on your experience, how much potential do the regional commission have to make a larger contribution to the work of the United Nations country team?" are presented in table 20.

Table 20
**Potential of regional commissions to contribute to the work of United Nations country teams**
(Percentage of responses)

| | *Region* | | | | | |
|---|---|---|---|---|---|---|
| *Answer options* | *Asia and Pacific* | *Europe and Commonwealth of Independent States* | *Latin America and the Caribbean* | *Africa* | *Arab States* | *Response count* |
| Great potential | 1 | 6 | 11 | 19 | 2 | 42 |
| Moderate potential | 9 | 5 | 7 | 8 | 5 | 37 |
| Small potential | 7 | 6 | 1 | 6 | 4 | 26 |
| No potential | 0 | 0 | 1 | 2 | 0 | 3 |

161. The reasons for the disparity between the reported performance and the potential of the regional commissions as seen by the resident coordinators may merit more in-depth study. For the next report, the regional commissions will also be invited to respond to the surveys.

162. The resident coordinators were also asked about the support that the United Nations country teams received from the UNDG regional team in the past year. The results were presented earlier in this section along with the assessments of the resident coordinators of the support received from headquarters.

163. In the survey for agency headquarters, entities were requested to mention what new measures were taken in the last year to adopt more collaborative approaches between regional or subregional entities to support country-level development initiatives. Most of the answers revealed that there is no overall strategic approach existing at this time between United Nations agencies and regional or subregional entities. However, some agencies highlighted with specific examples a considerable degree of collaboration with the regional commissions, including through the regional coordination mechanisms (mentioned above) and the regional UNDG. In particular, UNDP has engaged in a close dialogue and cooperation with the regional commissions, including at the global level, where these organizations are working closely on a number of activities such as regional reporting on the Millennium Development Goals.

164. In paragraph 147 of its resolution 67/226, the General Assembly highlighted the importance of aligning regional technical support structures and the regional bureaux to provide support to the United Nations country teams and suggests co-location, where appropriate and consistent with the needs of the programme countries of the regions concerned. The responses to the agency headquarters survey show that very few agencies currently have a strategy in place to align regional technical support structures and the regional bureaux through co-location. Also, none of the agencies indicated that they had specific plans in place to strengthen collaboration with the regional commission. This supports the above findings that

there is much room for improving the effectiveness and the organizational efficiency of regional support mechanisms.

## E. Simplification and harmonization of business practices

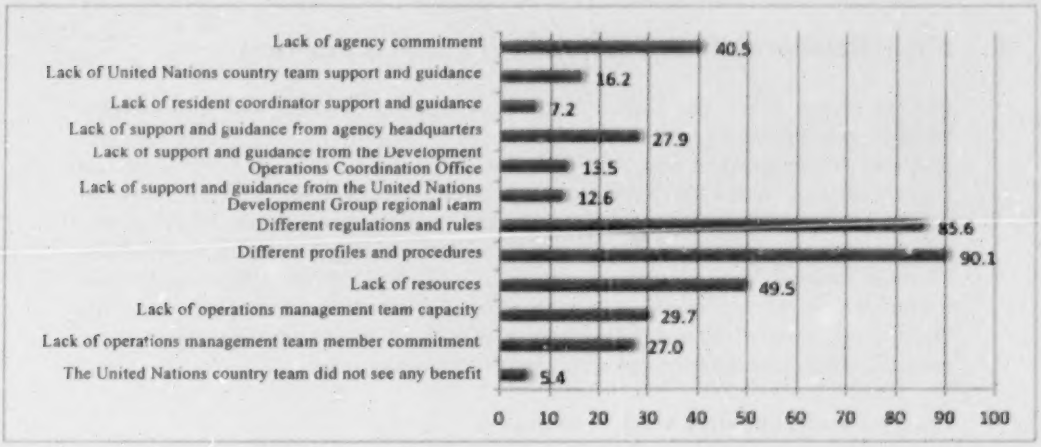
165. In recent years, the United Nations system has worked with considerable success on a number of system-wide initiatives to simplify and harmonize business practices at headquarters and country levels. In particular through UNDG and the High-level Committee on Management working mechanisms, a wide range of reform measures have been introduced that have presented ways to increase system-wide efficiency and effectiveness through the harmonization of business practices. Through several joint initiatives, such as the 2010 joint UNDG-High-level Committee on Management mission to identify bottlenecks in implementing the "Delivering as one" approach, the two bodies have increased their cooperation, ensuring closer coordination and a clearer distribution of work.

**Progress made, but more needs to be done**

166. Progress has been made in the development of business solutions that support system-wide coherence and lead to greater effectiveness and efficiency in the area of business operations. However, the experience of the "Delivering as one" and other selected programme countries has shown the substantial limitations of simplifying and harmonizing business practices at the country level, without effectively addressing the agency-specific differences. In each of the functional areas of business operations, funds and programmes and specialized agencies apply business practices that are based on different policies and procedures and regulations and rules. Accompanied by the significant investment in the development and maintenance of agency-specific enterprise resource planning systems, end-to-end business processes are mostly computerized and managed at the corporate level and not compatible with each other.

167. In the 2013 survey of operations management teams, more than 90 per cent of all country teams stated that different policies and procedures had impeded the United Nations country teams in further harmonizing business practices, and 85 per cent stated that different regulations and rules had had the same effect. A number of comments from the country teams suggests that the reasons for limited success in harmonizing business practices are interrelated. For instance, the lack of progress also stems from the perception that many reform initiatives at the country level might interfere with agency-specific policies and procedures and that changes towards greater inter-agency harmonization at the country level would not be feasible for individual agencies.

Figure VIII
**Challenges to harmonizing business practices at the country level**


Lack of agency commitment
40.5
Lack of United Nations country team support and guidance
16.2
Lack of resident coordinator support and guidance
7.2
Lack of support and guidance from agency headquarters
27.9
Lack of support and guidance from the Development Operations Coordination Office
13.5
Lack of support and guidance from the United Nations Development Group regional team
12.6
Different regulations and rules
85.6
Different profiles and procedures
90.1
Lack of resources
49.5
Lack of operations management team capacity
29.7
Lack of operations management team member commitment
27.0
The United Nations country team did not see any benefit
5.4
0 10 20 30 40 50 60 70 80 90 100

168. A number of programme countries have shown some success in establishing common services that do not require unified business processes. According to the survey of operations management teams, 85 per cent of all country teams have established the provision of security services as a common service. This is followed by travel services with about 69 per cent, medical services with 61 per cent and cleaning services with 60 per cent.

169. The establishment of a common service typically requires a number of steps, including conducting a cost-benefit analysis, ratifying an inter-agency memorandum of understanding and establishing a common long-term agreement with the service provider. These requirements are supported and highlighted by the UNDG standard operating procedures for the countries wishing to adopt "Delivering as one".

170. From a list of 35 potential common services that require the procurement of services, figure IX illustrates the number of common services that have been established by country teams on the basis of the above-mentioned steps. The data shows that about 27 per cent of all countries established five or more long-term agreements with external service providers; however, only 3 out of 111 country teams established three or more common services in line with all minimum requirements, none of which was a "Delivering as one" pilot country. Only two country teams have systematically followed the recommended approach and established a considerable number of seven or more common services in line with the minimum requirements.[5]

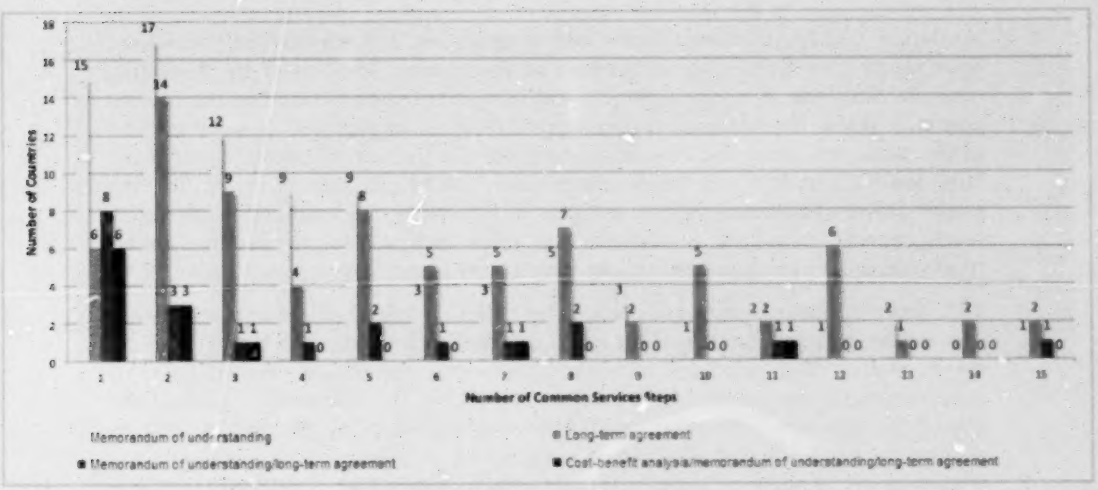
171. Overall, it appears that most country teams have established common services only selectively and thus have not followed a strategic approach to effectively

[5] The establishment of long-term agreements with service providers is also dependent on a number of external factors, such as the existence of a competitive market environment and service providers that fulfil minimum quality standards. Therefore, the data shown in figure XI does not indicate that all country teams would be in a position to establish all 35 common services as listed in the survey. However, the data as reported by the operations management teams provides information on the number of country teams that have applied a systematic approach to consolidate support services.

coordinate business operations at the country level. Common services training for operations management teams through the United Nations System Staff College is aimed at building the necessary skills to conduct a strategic and business-case approach to assessing and establishing common services.

172. The results of the survey of operations management teams have shown that a systematic approach to the establishment of common services remains an exception. Only a small number of country teams followed a strategic approach to outsource and jointly manage support services and their exercise merits further study.

Figure IX
**Established common services steps per country team**




173. The implementation of the "One Office" concept has resulted in noteworthy progress in identifying inefficiencies in the provision of support services at the country level and finding solutions through the design of a harmonized approach. A number of the "Delivering as one" countries have invested considerably in the analysis of business practices in all functional areas of business operations. While some of the initiatives have been recognized as best practices for replication in other countries, there is not yet enough evidence that the planning and design of those business solutions have led to the actual implementation and sustainable management of harmonized business practices. The investment in additional resources and country-level coordination has not yet been met by considerable and quantifiable cost reductions that have been accounted for in the delivery of business operations functions.

174. While a few common services are managed through selected lead agencies, the implementation of service centres to consolidate support services at the country level remains limited. According to the operations management team survey, 1 out of 111 country teams reported that they provide support services in more than one functional area through a common United Nations service centre. A number of countries commented that the establishment of common United Nations service centres is closely linked to the implementation of common premises and that the consolidation of support services would require stronger headquarters support.

175. The experience from the "Delivering as one" approach has shown that the harmonization of business practices at the country level is limited without a more coherent regulatory framework and management systems compatibility. With the adoption of resolution 67/226, the General Assembly has recognized the significant challenges to the simplification and harmonization of business operations at the headquarters and country level. By requesting concrete actions and establishing firm timelines, the Assembly has focused on introducing the critical organizational changes necessary to effectively support system-wide coherence and providing the basis for the consolidation of support services at the country level. General Assembly resolution 67/226 introduces far-reaching reform measures that impact the organizational structure of the United Nations system.

176. At the core of the measures, the General Assembly, in paragraph 152 of its resolution 67/226, requested funds and programmes and encouraged specialized agencies to consolidate support services at the country level either by delegating common functions to a lead agency, establishing a common United Nations service centre or, where feasible, outsourcing support services. In addition, in paragraph 155 of the same resolution the Assembly requested the Secretary-General, through the High-level Committee on Management and UNDG, to present plans for the establishment of common support services at the country, regional and headquarters levels, based on unified regulations and rules, policies and procedures in all functional areas of business operations with a view to implementation by 2016.

177. Member States continue to place significant importance on the implementation of common premises as one of the main indicators for a coherent United Nations system at the country level and an important driver for the effective consolidation of support services. In paragraph 161 of the resolution, the Assembly requested the United Nations development system to develop a strategy by the end of 2013 to support the establishment of common premises in programme countries, with due consideration of security issues and cost effectiveness. The development of this strategy is seen as an opportunity to effectively link the design of common premises with structural changes that are required to harmonize business practices at the country level. More than physical co-location, common premises allow for the consolidation of departments with similar functions, leading to high efficiency gains and cost saving potentials.

178. The High-level Committee on Management and UNDG have started to follow-up with the provisions of General Assembly resolution 67/226. Both inter-agency bodies entered a phase of consultations aiming at developing strategies for the quadrennial comprehensive policy review implementation and integrating the measures as introduced by the General Assembly into existing work plans. For instance, the Joint Funding and Business Operations Network of UNDG has developed a two-year work plan (2013-2014), which has been widely synchronized with the one for the High-level Committee on Management for the period 2013-2016.

179. In April 2013, CEB endorsed the new HLCM strategic plan for 2013-2016. Among its primary objectives, the strategic plan aims to contribute to the commitment of the Member States to enhance the relevance, the coherence, the effectiveness and the efficiency of the United Nations system through the re-design and operationalization of administrative and management functions. The strategic plan derives from the call by the General Assembly, in its resolution 64/289 on

system-wide coherence, to modernize procedures leading to significant cost savings and a reduction in the administrative and procedural burden on the organizations of the United Nations development system and national partners. The strategic plan sets the framework for a response at the system-wide level to the provisions of the General Assembly resolution 67/226, such as the request, in paragraph 154, for the development and conclusion of inter-agency framework agreements with a focus on common long-term agreements with external service providers and greater procurement collaboration, in paragraph 156. For instance, the HLCM has been engaging in related reform measures through the piloting and subsequent scaling up of a harmonized joint policy and regulatory framework for the recruitment and selection of staff in the field, the involvement in the recent implementation of International Public Sector Accounting Standards, the development of guidelines for use of Cloud services by the United Nations system, the adoption of the regulatory and policy changes required to expand the scope for joint and common procurement, and the development of a proposal on common definition of operating costs.

180. The General Assembly, in its resolution 67/226, requested the Secretary-General to undertake a study to examine the feasibility of establishing interoperability among existing enterprise resource planning systems of funds and programmes. Accordingly, CEB has endorsed the Chair of the Information and Communications Technology (ICT) network of the HLCM, the Secretary-General of the International Telecommunication Union, to lead the study. At its April 2013 meeting, the ICT network agreed that the feasibility study should closely examine the business requirements that would lead to cost reductions at the country level, and the role that enterprise resource planning systems play in this complex arrangement.

181. The results of the survey of agency headquarters has shown that agencies widely facilitate their commitment to the simplification and harmonization of business practices through their membership and staff time contributions to the work of the HLCM and the UNDG working mechanisms. The majority of agencies outlined their role in these inter-agency forums and referred to the implementation of the recently endorsed UNDG standard operating procedures. The UNDG guidance note on the business operations strategy provides the framework for enhanced strategic planning, implementation, monitoring and reporting for the harmonization of business operations at the country level. UNDG launched the pilot programme in January and 14 countries have voluntary adopted the business operations strategy. It is planned to evaluate the pilot in the third quarter of 2013, with the aim of enhancing the guidance in preparation for global launch in 2014. Under the umbrella of the business operations strategy, the first pilot project for the integrated service centre design and implementation was carried out in Brazil. The project contains components for a possible common service centre methodology that benefits future roll-outs of this mechanism for harmonized business operations.

182. The follow-up through the United Nations Development Group and the High-level Committee on Management reveals that there is a commitment to answer the far-reaching reform measures as formulated in General Assembly resolution 67/226. In determining the effectiveness of the United Nations entities and inter-agency bodies in following up on the related institutional changes, it will be important that clear interpretations of the requested actions support timely and system-wide implementation. For instance, answering the provisions in paragraph 152 of the resolution, the UNDG Joint Funding and Business Operations Network

work plan includes the establishment of one service centre pilot in a middle-income programme country. In the area of business operations, the General Assembly, in its resolution 67/226, requested the implementation of the respective actions system-wide and in all programme countries.

## F. Results-based management

183. In its resolution 67/226, the General Assembly highlighted the importance of results-based management as a critical element of accountability contributing to improved development outcomes and the achievement of the Millennium Development Goals. While the Assembly stressed the need to identify, assess and mitigate risks and further improve planning, management and reporting, there has been a significant progress in improving a results culture within agencies since the 2007 triennial comprehensive policy review.

184. UNDG adopted common principles and a standard format for UNDAF results reporting and implemented a common results-based methodology by mandating the use of the UNDG Results-based Management Handbook for Country Programming. According to the UNDG 2013-2014 work plan, common results-based management and monitoring tools aimed at strengthening the focus on results will be further developed and implemented. The inter-agency work plan also calls for UNDG members to invest in developing capacities and competencies for results-based management. The Secretary-General will provide further details on progress in this regard in the 2014 report on the quadrennial comprehensive policy review.

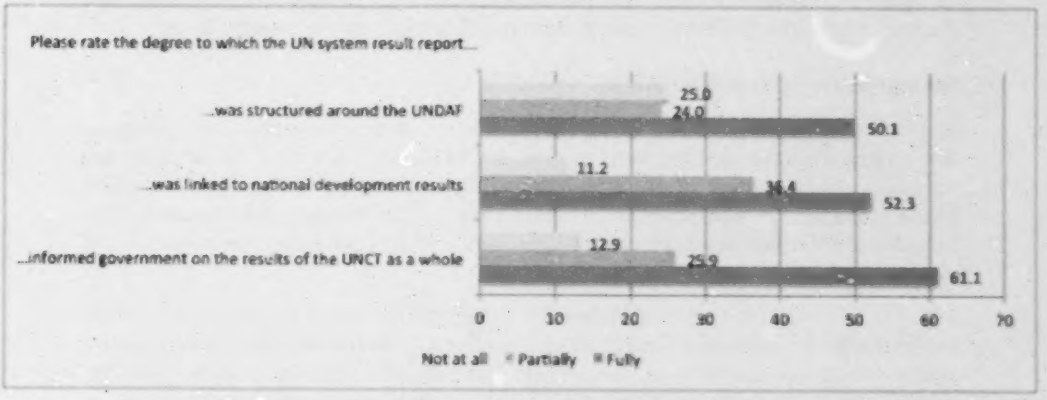
**Implementing results-based culture across all mandates**

185. Despite the successful work in adopting common management tools through UNDG, the implementation of a results-based culture within funds and programmes and specialized agencies remains challenging. While much progress has been made in improving management tools for monitoring and measuring results across the United Nations development system, agencies continue to experience difficulties in establishing systems that define results and measure progress across all mandates. Also, while progress has been made in defining and measuring project-based outputs, it remains challenging to connect the broader and more complex work in advocacy, capacity development and policy advisory services to measurable results. A direct cause-and-effect relationship can often not be established owing to the many external factors that influence the impact of the work of the United Nations development system on peoples' lives in programme countries. This includes adapting results to changing country contexts and the heavy reliance on non-core funding, which makes medium- and long-term planning for achieving development results difficult.

186. Therefore, for a coherent United Nations development system it is essential that joint reporting be based on the implementation of harmonized and effective results-based management systems. This has been confirmed by the results of the resident coordinator survey, where over 88 per cent of respondents answered that, considering the demands of joint reporting, it would be "very important" for United Nations agencies to harmonize their results-based management systems. An agency headquarters added that there is a need to harmonize the levels of results used by different United Nations organizations, owing to the differences in the definitions and practical use, despite having the same names.

187. According to the results of the resident coordinator survey, 80 per cent of all country teams prepared an annual United Nations system results report in 2012. However, there are indications that, in many cases, the quality of the reports and their usefulness to the host Government needs to be improved. In the 2012 survey of programme countries, only 17 per cent "strongly agreed" that "the United Nations, through current review processes and reports, provides sufficient information for the government to assess the performance of the organization". The results of the 2013 resident coordinator survey confirm this government perception, as only 52 per cent of all respondents confirmed that the United Nations system results report in their programme country was fully linked to national development results (see fig. X).

Figure X
**Implementation of basic criteria of United Nations system results reports**
(percentage of responses)




188. As indicated in the figure X, almost half of all resident coordinators stated that the annual United Nations system results report was "not at all" or only "partially" structured around the UNDAF or linked to national development results. The results of the survey also revealed that a larger portion of programme countries that apply or consider the implementation of "Delivering as one" have linked the United Nations system result report to national development results. For instance, 60 per cent of the group of "Delivering as one" countries has fully linked their reporting to national development results.

189. With the recently adopted standard operating procedures for "Delivering as one", UNDG supports a focus on strengthening results-based management through a flexible set of guidelines that can be applied in varying country contexts. According to UNDG, the standard operating procedures for "Delivering as one" countries prioritize the linkage of multi-year strategic business plans to support programme delivery with a strong emphasis on joint delivery of results and results reporting.

190. The results of the agency headquarters survey reveals that entities generally support the guidance as presented through the UNDG standard operating procedures. While only one agency reported to have conducted an evaluation or review of its results-based management systems in the last two years, a number of agencies reported to have considerably invested in their own results-based management systems. This included selected examples for plans to increase investments in capacities for results-based management and a commitment to simplify, streamline

and harmonize results-based management systems, as requested by the General Assembly in paragraph 168 of its resolution 67/226. For instance, UNDP pointed out that it is currently advocating for a substantial lightening of requirements for the development of a country-level strategy (UNDAF) and coherence in programming (One Programme). UNFPA highlighted that it intends to develop guidance on consolidated financing for country programme documents for unified budgeting in 2013.

191. The majority of agencies confirmed the application of clear and robust results frameworks to establish expected results at the output, outcome and impact levels and include measurable indicators with baselines, milestones and targets for monitoring, as requested by the General Assembly in paragraph 170 of its resolution 67/226. Most of the agencies also confirmed that their current systems for reporting on country-level results are fully linked to national development results. As shown in figure X, it seems that this may not always have been successfully translated into the majority of the United Nations system results reports at the country level.

**Strengthening system-wide results reporting**

192. The General Assembly, in paragraph 166 of its resolution 67/226, requested the United Nations development system to accelerate the work to develop and sustain a results culture at all levels, including establishing incentives for results-based management and periodically reviewing results management systems. This includes the further development of capacities and competencies for results-based management.

193. On this basis, the General Assembly, in paragraph 168 of its resolution 67/226, requested the Secretary-General to intensify efforts to strengthen and institutionalize results-based management in the United Nations development system, with the overall aim to improve development results through organizational effectiveness, including simplifying, streamlining and harmonizing results-based management systems.

194. In this regard, the General Assembly has established ambitious timelines and requested the Secretary-General, in paragraph 169 of its resolution 67/226, to articulate and report to the Economic and Social Council at the operational activities segment of its substantive session of 2013 on a more robust, coherent and harmonized approach to operational activities for development. With a strong focus on results, the approach should improve the planning, monitoring, measurement and reporting on system-wide results. Inviting the executive boards of the funds and programmes and the governing bodies of the specialized agencies to have a focused dialogue on how to balance most effectively the requirement for system-wide results reporting with agency-specific reporting requirements, the Assembly also requested, in paragraph 169 of the same resolution, the implementation of a more coherent and harmonized mechanism by 2014.

## G. Evaluation of operational activities for development

195. With the development and implementation of more coherent and system-wide results-based management systems, effective monitoring and evaluation as an inherent part of programme delivery is gaining increasing relevance. Evaluation within the United Nations development system is informed by the work of the

United Nations Evaluation Group, a professional network of experts that brings together the units responsible for evaluation in the United Nations system. With its current 43 members and 3 observers, the Group aims to strengthen the objectivity, the effectiveness and the visibility of the evaluation function across the United Nations system.

196. The group provides a forum for its members to establish common norms and standards for evaluation support the evaluation functions through peer review and information exchange and establish partnerships with the wider evaluation community. UNDG is currently collaborating with the United Nations Evaluation Group in the development of a strategy for increasing assistance to programme countries for strengthening national evaluation capacity for monitoring and evaluation of United Nations operational activities for development. The new strategy is expected to be completed and adopted by UNDG and the United Nations Evaluation Group by the end of 2013.

**National ownership of evaluations**

197. An important function of the evaluation role of the United Nations development system lies in the strengthening of national ownership and leadership in evaluating the assistance provided by the United Nations system. This requires a considerable effort to assist programme countries in strengthening national evaluation capacity to effectively monitor and evaluate the operational activities for development. With the increasing relevance of the UNDAF as a strategic and comprehensive document that integrates most of the activities of the United Nations system at the country level into one coherent framework, strong national ownership for its effective monitoring and evaluation becomes critical. Programme country Governments should be in the position to effectively evaluate the alignment of UNDAFs with national development plans and measure their contribution to national development results. In this regard, the General Assembly, in paragraph 175 of its resolution 67/226, has requested the United Nations development system to develop and implement guidelines for further strengthening of national evaluation capacities for operational activities for development.

198. The results of the agency headquarters surveys reveal that entities do not have established specific policies on enhancing national evaluation capacities. However, a number of agencies described their efforts in national capacity development and how they would integrate capacity-building measures into results-based management and other areas, which touch on strengthening national systems for analysis, strategy, planning, implementation, monitoring and evaluation. Thus, the development of guidelines as requested by the General Assembly, in paragraph 175 of its resolution 67/226, provides an opportunity for agencies to link their contributions as members of the United Nations Evaluation Group to strengthening their current efforts in national capacity development.

**UNDAF evaluation**

199. The need for more consistent evaluation has been reflected in the results of the 2013 resident coordinator survey. According to the survey, only about 52 per cent of all UNDAFs have been evaluated, of which less than half (44 per cent) had a management response prepared. This translates to 28 per cent, or 31 of 108 countries, where full compliance with these dimensions of sound evaluation were reported.

Considering that UNDAF evaluations are now mandatory, it is expected that the number of both evaluations and management responses will considerably increase in the next few years.

**Evaluation capacity in United Nations entities**

200. The General Assembly, in its resolution 67/226, highlighted the importance of the United Nations development system having independent, credible and useful evaluation functions that are furnished with sufficient resources. The resolution emphasizes the need to promote an evaluation culture within the United Nations organizations that ensures the active use of evaluation findings in recommendations and policy development and improving the functioning of the organizations. Therefore, the General Assembly reiterated the need for the members of the United Nations development system to increase their institutional and organizational capacity for the evaluation of operational activities for development, including in training and skills-upgrading in results-based management and monitoring and evaluation.

**Independent system-wide evaluation**

201. The General Assembly, in its resolution 67/226, requested the Secretary-General to establish an interim coordination mechanism for independent system-wide evaluation of United Nations operational activities for development.

202. Composed of the Joint Inspection Unit, the United Nations Evaluation Group, the Department of Economic and Social Affairs, the Office for the Coordination of Humanitarian Assistance and the Office of Internal Oversight Services (OIOS), the interim coordination mechanism was also requested in paragraph 181 of General Assembly resolution 67/226 to develop a policy for the independent system-wide evaluation of United Nations operational activities for development, including a proposal for pilot system-wide evaluations for the consideration of the Economic and Social Council at the operational activities segment of its 2013 substantive session.

203. The interim coordination mechanism was established in February 2013 and has since consulted extensively with United Nations entities and Member States on a draft policy for independent system-wide evaluation of United Nations operational activities for development, which, along with a proposal for pilots system-wide evaluations, will be submitted in a separate document for the consideration of the operational activities segment of Economic and Social Council at its 2013 substantive session.

## V. Follow-up and monitoring

204. In paragraph 183 of resolution 67/226, the General Assembly reaffirmed that the governing bodies of the funds, programmes and specialized agencies of the United Nations development system should take appropriate actions for the full implementation of the same resolution. The Assembly recognized in paragraph 185 of that resolution the major role that the Economic and Social Council, within its Charter mandate, plays in the overall coordination of the funds, programmes and specialized agencies. In paragraph 121, the Assembly called upon the funds and programmes, and encouraged the specialized agencies, to carry out any changes required to align their

planning and budgeting cycles with the quadrennial comprehensive policy review. In paragraph 122, the Assembly reaffirmed the importance of the implementation of previous resolutions of the General Assembly regarding the United Nations presence at the country level.

205. The present section examines the current state of alignment of strategic plans of 19 funds, programmes and specialized agencies with the quadrennial comprehensive policy review cycle (see table 21). These entities, together, accounted for some 96 per cent of total funding for development-related activities of the United Nations development system in 2011. This section also reviews selected lessons from the implementation of previous General Assembly resolutions on the TCPR, an issue that was on the agenda of the May 2013 annual information coordination meeting of the bureaux of the Economic and Social Council and the executive boards of the funds and programmes.

## A. Alignment of strategic planning cycles of key funds, programmes, specialized agencies and other entities with the quadrennial comprehensive policy review cycle

206. The General Assembly, in its resolution 63/232, urged United Nations entities to align their planning cycles with the quadrennial comprehensive policy review. The United Nations development system is still striving to fully comply with that mandate. Among the 19 entities that accounted for some 96 per cent of United Nations operational activities for development in 2011, 7 have not yet been able to align their planning cycles with the quadrennial comprehensive policy review, including 3 for which the quadrennial comprehensive policy review is binding[6] and 4 specialized agencies.[7] Two entities, namely, UNAIDS and UNIDO, plan to consider alignment with the quadrennial comprehensive policy review in future meetings of their respective governing bodies. Furthermore, 7 out of the 19 entities formally report to their governing bodies on quadrennial comprehensive policy review implementation. The FAO Conference and the UNIDO General Conference are the only governing bodies of the specialized agencies that formally requested regular reporting on the implementation of the quadrennial comprehensive policy review.

[6] UN-Habitat, United Nations Relief and Works Agency for Palestine Refugees in the Near East, UNAIDS.

[7] International Labour Organization, International Fund for Agricultural Development, World Health Organization and UNIDO.

Table 21

**Alignment of strategic planning cycles of key funds, programmes, specialized agencies and other entities with the quadrennial comprehensive policy review cycle**

| *Alignment of strategic planning cycles of key funds, programmes, specialized agencies and other entities with the quadrennial comprehensive policy review cycle*[a] | | | | | | |
|---|---|---|---|---|---|---|
| | | | *Planning cycle* | | | |
| *Entity* | *Strategic planning document* | *Number of years*[1] | *Present* | *Next* | *Quadrennial comprehensive policy review alignment* | *Annual quadrennial comprehensive policy review reporting to governing body* |
| **Funds and programmes** | | | | | | |
| UNDP[b] (included United Nations Volunteers and United Nations Capital Development Fund) | Strategic plan | 4 | 2008-2013 | 2014-2017 | Yes | Yes |
| UNFPA | Strategic plan | 4 | 2008-2013 | 2014-2017 | Yes | Yes |
| UNICEF[c] | Medium-term strategic plan | 4 | 2006-2013 | 2014-2017 | Yes | Yes |
| WFP[d] | Strategic plan | 4 | 2008-2013 | 2014-2017 | Yes | Yes |
| UN-Habitat | Medium-term strategic plan | 6 | 2008-2013 | 2014-2019 | No | No |
| UNHCR | Biennial programme[h] | 2 | 2012-2013 | 2014-2015 | Yes | No |
| UNRWA | Medium-term plan | 6 | 2010-2015 | 2016-2021 | No | No |
| **Specialized agencies** | | | | | | |
| ILO[e] | Strategic policy framework | 6 | 2010-2015 | To be decided | No | No |
| FAO | Medium-term plan | 6 | 2010-2013 | 2014-2017 | Yes | Yes[i] |
| UNESCO[f] | Medium-term strategy | 6 | 2008-2013 | 2014-2017 | Yes | No |
| WHO | Global programme of work | 6 | 2008-2013 | 2014-2019 | No | No |
| IFAD | Strategic framework | 5 | 2011-2015 | 2016-2020 | No | No |
| UNIDO | Medium-term programme framework | 4 | 2010-2013 | To be decided[k] | No | Yes |
| **Other entities** | | | | | | |
| UN-Women[g] | Strategic plan | 3 | 2011-2013 | 2014-2017 | Yes | Yes |
| UNAIDS | Strategic framework | 4 | 2012-2015 | To be decided | No | No |
| UNODC | Biennial programme[j] | 2 | 2012-2013 | 2014-2015 | Yes | No |
| UNCTAD | Biennial programme | 2 | 2012-2013 | 2014-2015 | Yes | No |

*Alignment of strategic planning cycles of key funds, programmes, specialized agencies and other entities with the quadrennial comprehensive policy review cycle*[a]

| *Entity* | *Strategic planning document* | *Number of years*[j] | *Planning cycle* | | *Quadrennial comprehensive policy review alignment* | *Annual quadrennial comprehensive policy review reporting to governing body* |
|---|---|---|---|---|---|---|
| | | | *Present* | *Next* | | |
| UNEP | Biennial programme | 4 | 2012-2013 | 2014-2017 | Yes | No |
| Office of the United Nations High Commissioner for Human Rights | Biennial programme | 2 | 2012-2013 | 2014-2015 | Yes | No |

[a] These 19 funds, programmes, specialized agencies and other entities accounted for some 96 per cent of total funding for development-related activities of the United Nations development system in 2011.

[b] UNDP Executive Board decision 2009/9 extended the 2008-2011 strategic plan to 2013 in response to General Assembly resolution 63/232, calling for alignment with the quadrennial comprehensive policy review cycle.

[c] UNICEF Executive Board decision 2009/5 extended the 2006-2011 medium-term strategic plan to 2013 in response to resolution 63/232, calling for alignment with the quadrennial comprehensive policy review cycle.

[d] WFP Executive Board decision 2009/EB.A/3 extended the 2008-2011 strategic plan to 2013 in response to resolution 63/232, calling for alignment with the quadrennial comprehensive policy review cycle.

[e] The ILO Governing Body will, at its 318th session (October 2013), begin discussions on the arrangements to be put in place as a follow-up to the current strategic policy framework (2010-2015).

[f] In 36 C/Resolution 105, the General Conference of UNESCO decided to extend the programming cycle of the medium-term strategy from six to eight years, with a four-year programme and budget framework as a mechanism to adjust with the quadrennial comprehensive policy review cycle.

[g] UN-Women was established by resolution 64/289 on 2 July 2010, and its first strategic plan covers the period 2011-2013 in order to align with planning cycles of the United Nations development system.

[h] The organs of the United Nations Secretariat operate on biennial programme plans and the vision of their activities is set out in a strategic framework, a key policy document that is approved by the General Assembly.

[i] The United Nations Office on Drugs and Crime adopts a strategy every four years that guides the development of the biennial strategic framework.

[j] Years reflected are those of the current programming cycle or those stipulated by the most current decisions of governing bodies and which will be reflected in the next programming cycle.

[k] UNIDO General Conference has decided that the UNIDO medium-term programme framework should be aligned with the quadrennial comprehensive policy review. It was also decided that the introduction of a new medium-term programme framework will be postponed pending the election of the next Director General of UNIDO.

[l] The reporting is biannual.

## B. Lessons learned from the implementation of earlier TCPR resolutions

207. In paragraph 183 of its resolution 67/226, the General Assembly reaffirmed that the governing boards of all agencies should take appropriate action for the full implementation of the that resolution, in line with paragraphs 91 and 92 of General Assembly resolution 56/201, which called for yearly progress reports on the implementation of TCPR decisions and a thorough analysis of the problems encountered, including lessons learned, in their implementation.

208. A general catalogue of the requests of the General Assembly in all TCPR, and now quadrennial comprehensive policy review, resolutions, dating back to the first one adopted in 1980 (General Assembly resolution 35/81), shows that the comprehensive policy review recommendations have grown significantly in complexity over the years, with a fundamental shift towards system-wide issues. For example, General Assembly resolutions 35/81 (1980) and 67/226 (2012) contained 18 and 189 paragraphs, respectively. The technical complexity of the comprehensive policy review recommendations has also grown significantly during this period.

209. In terms of specific requests for action by Member States and the agencies in previous TCPR resolutions, six major themes dominate, although one or two of them have emerged only recently. These themes are: (a) the quantity and quality of funding; (b) the importance of full cost recovery of management and programmes support costs of non-core funding flows; (c) measures to improve the efficiency of operations of the United Nations development system; (d) decisions to promote greater system-wide coherence; (e) actions related to the functioning of the resident coordinator system; and (f) monitoring of the implementation of TCPR decisions with a particular emphasis on the role of the Economic and Social Council.

**Achieving system-wide coherence remains a major challenge**

210. The main challenges of the United Nations system arise from the issue of coherence (and its many sub-issues). Extensive inter-agency cooperation is required to adopt new approaches. Within the broad subject area of coherence, requests related to the harmonization of rules and regulations, the simplification of processes and procedures and the much greater use of common services have been present in every TCPR resolution since the first one in 1981. These three requests thus provide a sample for assessing performance on TCPR implementation.

**More useful and simplified reporting for governance purposes is required**

211. The reporting process of TCPR, and now the quadrennial comprehensive policy review, implementation is complex. Three main report sources need to be considered: (a) the reporting done by the heads of the funds and programmes to their executive boards; (b) the consolidated reporting provided by the Secretary-General to the ECOSOC; and (c) a variety of other reports that flag issues related to the implementation of various TCPR provisions (such as background reports prepared for the 2012 quadrennial comprehensive policy review).

212. Reporting can tend to be too focused on the activities undertaken for selected components of relevant TCPR provisions by the heads of the funds and programmes. It would be useful to have more analysis of what the actions represent in terms of

meeting the desired objectives and, if progress is deemed challenging or inadequate, the obstacles that must be overcome.

213. Useful analysis of the real impact of the results achieved can also be found in reports that were not specifically oriented to assessing TCPR implementation. The background documents prepared for the 2012 quadrennial comprehensive policy review in the areas of the functioning of the resident coordinator system, the role of the United Nations in transition countries, the review of system-wide business practices and the "Delivering as one" pilot country evaluation all had various comments on the difficulties being encountered and the implications of limited progress. A key lesson in reporting therefore is to strive for more analytical quality rather than quantity.

214. One possible measure to simplify and improve the analytical quality of quadrennial comprehensive policy review reporting to governing bodies could be for the heads of the entities concerned to merge into a single report the annual reporting they provide to their executive boards on the implementation of their strategic plans and the implementation of General Assembly resolution 67/226.

**Important objectives of TCPR resolutions still remain to be completed**

215. The implementation of provisions of the earlier TCPR resolutions requiring extensive inter-agency cooperation has been limited and slower than desired. While many positive accomplishments (often entailing great effort) have taken place in a variety of areas, progress in general has been incremental while the larger goals remain to be achieved.

216. In terms of simplification and harmonization, success has been achieved in a number of areas: (a) largely standardized formats for the presentation of executive board documents by the funds and programmes; (b) standardized cost-recovery rates; (c) International Public Sector Accounting Standards implementation; (d) increasing use of the HACT; (e) progress on a central repository of information on operational activities of the United Nations; and (f) system-wide guidelines in areas such as procurement and ICT, with some pilot implementation projects.

217. However, the simplification and harmonization of the rules, regulations and procedures has proved to be more elusive. The primary obstacle to progress is identified as the differing mandates, business models and funding modalities of the various agencies. Little analysis has been provided on how these might be overcome. The lack of a standardized base for system operations means that in practical areas of potential cost savings, such as through an expanded use of common services, progress has been limited, with the progress achieved being mainly at the field level.

Table 22

**Preliminary monitoring and indicator framework for further discussion and review**

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| **I. Introduction** | | | | | | | | | | |
| **A. Relevance of the United Nations system (paras. 4, 6, 9, 12, 20, 114, 124 (i), 145)** | | | | | | | | | | |
| I.A.1 | 4, 6 | Extent to which Governments see impartiality as a United Nations characteristic that is relevant to their country (rating average) | ● | ○ | | | – | 3.4 out of 4 (2012) | | Programme country survey |
| I.A.2 | 4, 6 | Extent to which civil society organizations see impartiality as a United Nations characteristic that is relevant to the country (rating average) | ● | ○ | | | – | 3.2 out of 4 (2012) | | Civil society organization survey |
| I.A.3 | 12, 20 | Percentage of resident coordinators who judge United Nations cooperation with the World Bank to be either "somewhat" or "very" effective | ○ | ● | | | 85-86 table 8 | 39.2 (2012) | | Resident coordinator survey |
| I.A.4 | 12, 20, 145 | Percentage of resident coordinators who judge United Nations cooperation with the regional bank/s to be either "somewhat" or "very" effective | ○ | ● | | | 87-88 table 9 | 35.1 (2012) | | Resident coordinator survey |
| I.A.5 | 9, 12, 20, 114, 124 (i) | Percentage of civil society organizations that "strongly agree" that the United Nations collaborates "as much as possible" with civil society | ○ | ● | | | – | 44.1 (2012) | | Civil society organization survey |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| **B. Alignment, flexibility and national ownership (paras. 4, 5, 7, 12, 21, 113-115, 171)** | | | | | | | | | | |
| I.B.1 | 4, 5, 7, 12, 21, 113, 114 | Percentage of countries with a joint Government-United Nations Steering Committee | • | ○ | ○ | | 80 | 69.7 (2013) | | Resident coordinator survey or annual report |
| I.B.2 | 4, 5, 7, 12, 21, 113, 114 | Percentage of countries where a joint Steering Committee conducted an annual UNDAF (or equivalent) review in the past 12 months | • | ○ | ○ | | 80 | 36.7 (2013) | | Resident coordinator survey or annual report |
| I.B.3 | 5, 7, 12, 113, 115 | Percentage of Governments that see United Nations activities as being "very closely" aligned with national needs and priorities | | • | | | 75 | 22.5 (2012) | | Programme country survey |
| I.B.4 | 4 | Percentage of Governments that agree that the United Nations responds "very quickly" or "somewhat quickly" to changes in country needs | | • | | | – | 65.2 (2012) | | Programme country survey |
| **C. Accountability to Member States (paras. 11, 130 (b), 171)** | | | | | | | | | | |
| I.C.1 | 171 | Extent to which Governments are satisfied with reports of the United Nations on its activities (rating average) | | | • | | 187 | 2.8 out of 4 (2012) | | Programme country survey |
| **D. Mainstreaming of sustainable development (paras. 14, 15)** | | | | | | | | | | |
| I.D.1 | 14, 15 | Percentage of countries having a results group (theme group) on the environment and sustainable development | • | ○ | | | 48 figure II | 76.3 (2013) | | Resident coordinator survey or annual report |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| I.D.2 | 14, 15 | Percentage of Governments selecting the environment and sustainable development as a priority area for United Nations support | | • | | | 45 figure I | 73.4 (2012) | | Programme country survey |
| I.D.3 | 14, 15 | Sustainable development better articulated in UNDAF guidelines | ○ | • | ○ | | 28-29 | No data yet | | Agency survey, desk review |
| I.D.4 | 14, 15 | Percentage of new UNDAFs that conform to new guidelines (desk reviews) | ○ | • | ○ | | 28-29 | | | Desk review |
| I.D.5 | 14, 15 | Percentage of resident coordinators who cite environment and sustainable development as an area of competition among United Nations agencies | • | | | ○ | 119 figure III | 47.5 (2013) | | Resident coordinator survey |
| **E. Using all United Nations system expertise (paras. 18, 116)** | | | | | | | | | | |
| I.E.1 | 18, 116 | Percentage of resident coordinators who agree that the United Nations country team faces challenges regarding non-resident agency participation in UNDAF | | • | | | 83 | 40.4 (2013) | | Resident coordinator survey |
| I.E.2 | 18, 116 | Percentage of non-resident agency representatives who agree that the United Nations country team faces challenges regarding participation in UNDAF | | • | | | | No data available yet | | United Nations country team survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
|---|---|---|---|---|---|---|---|---|---|---|
| **F. Needs of persons with disabilities (para. 23)** | | | | | | | | | | |
| I.F.1 | 23 | Percentage of UNDAFs that substantively address this topic | | • | | | – | – | | Desk review |
| I.F.2 | 23 | Percentage of resident coordinators stating that "very" or "somewhat" adequate data on disability were available during UNDAF preparation | | | • | | Table 6 | 38.5 (2013) | | Resident coordinator survey or annual report |
| **II. Funding (in the present section, references to paragraphs, tables and figures are found in the report of the Secretary-General on the analysis of funding of operational activities for development of the United Nations system for 2011 (A/68/97-E/2013/87))** | | | | | | | | | | |
| **A. General principles (paras. 24-32, 37, 77)** | | | | | | | | | | |
| II.A.1 | | Extent to which, from a general funding perspective, programme countries, contributors and other stakeholders judge the overall level of coherence of United Nations operational activities for development at the country and central/headquarters level | • | | | | – | No data available yet | | Desk studies of existing external reviews |
| II.A.2 | 24 | United Nations operational activities for development relative to total ODA and total multilateral ODA at the global level | | • | | | 20, 32-33 | Figure IV | Paragraph 24 — need for adequate funding for United Nations operational activities for development | Established data-collection methods developed for funding report and analysis of those data |
| II.A.3 | 24 | United Nations operational activities for development relative to total ODA at the individual programme country level | | • | | | 29, 118-119 | Figure X, table 11 | Paragraph 24 — need for adequate funding for United Nations operational activities for development | |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
|---|---|---|---|---|---|---|---|---|---|---|
| II.A.4 | 77 | South-South cooperation: status and trends in contributions by developing countries relative to total South-South cooperation | | • | | | 24, 40 | $562 million in 2011 | Paragraph 77 — increase support for South-South cooperation | |
| II.A.5 | | Local resources: status and trends in local resources contributions | | • | | | 49 | Table 4 | | |
| II.A.6 | 37 | Other sources: status and trends in contributions by other sources relative to total funding for development by those sources | | • | | | 37-38 | Figure XII | Paragraph 37 — diversify potential sources of funding for United Nations operational activities for development | |
| II.A.7 | | Resource allocation/ distribution/destination: total expenditures according to main cost classifications (core and non-core, development- and humanitarian assistance-related) | | | • | | 26-28, 56-61 | Figures VIII, IX, XVI-XVIII; tables 5-7 | | |
| II.A.8 | | Resource allocation/ distribution/destination: distribution of programme expenditure according to different country groupings | | | • | | 62-64 | Figures XIX and XX | | Established data-collection methods developed for funding report and analysis of those data |
| II.A.9 | | Resource allocation/ distribution/destination: correlation between core and non-core programme expenditures | | | • | | 65-68 | Figures XXI and XXII; table 8 | | |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| II.A.10 | | Concentration/fragmentation: extent to which funding relationships between United Nations entities and programme countries are significant | | | | • | 108-120 | Tables 10, 11 annex VI | | |
| **B. Enhancing overall funding, particularly core resources (paras. 26, 33-39, 41, 42, 44, 46)** | | | | | | | | | | |
| II.B.1 | 41 | Status of introduction of integrated and results-based financial resources planning and budgetary frameworks at the central level | • | | | | | | Paragraph 41 — all resources are consolidated within an integrated budgetary framework | Agency headquarters survey |
| II.B.2 | 42 | Status of introduction and operationalization of common budgetary frameworks at the country level | • | | | | 81-84 | | Paragraph 42 — all contributions for United Nations operational activities for development to be consolidated within a common budgetary framework | Resident coordinator survey |
| II.B.3 | 26, 33 | Status and trends in contributions to United Nations operational activities for development: core and non-core, development- and humanitarian assistance-related | | | • | | 19, 30-31 | Figure III; table 1 | Paragraph 26 — address the imbalance between core and non-core resources; Paragraph 33 — substantially increase voluntary core contributions | Established data-collection methods developed for the report on funding and analysis of those data |
| II.B.4 | 46 | Comparison of status and trends in unrestricted and restricted funding modalities | | | • | | 42-55 | Figure XV; tables 2-4 | Paragraph 46 — make non-core resources more predictable and less restricted | |
| II.B.5 | 33 | Sources and types of funding: status and trends — general | | | • | | 22-24, 37-40 | Figures V, VI, XII, XIII | Paragraph 33 — all countries to increase their contributions for United Nations operational activities for development | |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| II.B.6 | 44 | Sources and types of funding: status and trends — pooled funding modalities and joint programmes | | | • | | 42-48, 50-55 | Figure XV; tables 2 and 3 | Paragraph 44 — give priority to pooled, thematic and joint-funding mechanisms | |
| II.B.7 | 35 | Sources of funding: status of actions taken by entities to broaden the donor base | | | • | | 77-78 | | Paragraph 35 — report to governing bodies at the first session in 2014 | Agency headquarters survey |
| II.B.8 | 39 | Critical mass of core funding: status of actions taken by entities to develop and operationalize the concept of critical mass of core funding | | | • | | 120 | | Paragraph 39 — present specific proposals to governing bodies by end of 2013 for decision in 2014 | Agency headquarters survey |
| II.B.9 | 33 | Burden-sharing: status and trends in contributions relative to GNI | | | • | | 85-93 | Figure XXVIII; annex V | Paragraph 33 — increase voluntary contributions for United Nations operational activities for development in a manner consistent with donor countries' capacities | Established data-collection methods |
| **C. Enhancing overall funding, particularly core resources (paras. 33, 40-46)** | | | | | | | | | | |
| II.C.1 | 41 | Planning frameworks at the central level: status of the introduction of integrated and results-based financial resources planning and budgetary frameworks | • | | | | | | Paragraph 41 — all resources are consolidated within an integrated budgetary framework | |
| II.C.2 | 42 | Planning frameworks at the country level: status of the introduction and operationalization of common budgetary frameworks | • | | | | 81-84 | | Paragraph 42 — all contributions for United Nations operational activities for development to be consolidated within a common budgetary framework | |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| II.C.3 | 33, 40 | Analysis of fluctuations in contributions by source and overall impact of resources' availability | | | | • | 69-72 | Figures XXIII-XXV | Paragraph 33 — contribute on a multi-year basis, in a sustained and predictable manner;<br>Paragraph 40 — prioritize the allocation of resources that are more predictable | Established data-collection methods developed for the report on funding and analysis of those data |
| II.C.4 | 46 | Status of actions and initiatives taken by entities and contributors to improve predictability | | | | • | 77-80 | | Paragraph 46 — structured dialogues of executive boards and governing bodies during 2014 | |
| **D. Ensuring full cost recovery (paras. 43, 47-56)** | | | | | | | | | | |
| II.D.1 | 47, 53 | Status of adoption of cost-recovery frameworks by governing bodies | | | | • | 101-106 | | Paragraph 47 — harmonized cost-recovery framework early 2013<br>Paragraph 53 — full adoption of frameworks by 2013 and full implementation in 2014 | Established data-collection methods developed for the report on funding and analysis of those data |
| II.D.2 | 43 | Comparison of core and non-core ratios between programme and non-programme costs | | | | • | 97 | Table 9 | Paragraph 43 — avoid the use of core resources to subsidize non-core financed activities | |
| II.D.3 | 54 | Status of disclosure of estimated amounts cost recovery in financial planning and reporting | | | | • | 100 | | Paragraph 54 — include estimated amounts as part of entities' regular financial reporting | |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| **III. National capacity development and development effectiveness** | | | | | | | | | | |
| **A. Capacity-building and development (paras. 11, 57-68, 95, 114)** | | | | | | | | | | |
| III.A.1 | 57-63 | Percentage of countries where the resident coordinator reports that the United Nations country team has an actively monitored strategy for supporting national capacity development | ○ | • | • | | 32-37 | 50.6 (2013) | | Resident coordinator survey or annual report |
| III.A.2 | 57-63 | Percentage of UNDAFs that substantively address capacity development | ○ | • | • | | 28-29, 32-37 | Not yet available | | Desk review |
| III.A.3 | 11 | Percentage of programme country Governments that "strongly agree" that the United Nations has "contributed significantly" to their development | | ○ | • | | 30 | 27.3 (2012) | | Programme country survey |
| III.A.4 | 57-63 | Percentage of programme country Governments that "strongly agree" that the United Nations has been effective in developing national capacities | | | • | | 34 | 24.1 (2012) | | Programme country survey |
| III.A.5 | 64, 66 | Percentage of programme country Governments that "strongly" or "somewhat" agree that the United Nations uses national monitoring and reporting systems "as much as possible" | | ○ | • | ○ | 39-40 table 1 | 52.8 (2012) | | Programme country survey |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| III.A.6 | 64, 66 | Percentage of countries where resident coordinators estimate that 50 per cent or less of United Nations programme funds are channelled through national institutions | | | ○ | • | 40 | 62.4 (2013) | | Resident coordinator survey or annual report |
| III.A.7 | 64 | Percentage of countries that are fully compliant with the harmonized approach to cash transfers | • | ○ | ○ | | 40 | | | Harmonized Approach to Cash Transfers Advisory Committee |
| III.A.8 | 64, 66 | Percentage of resident coordinators who "strongly" or "somewhat" agree that the United Nations system is using parallel implementation units more than necessary | | | | • | 44 | 27.6 (2013) | | Resident coordinator survey or annual report |
| **B. Poverty eradication (paras. 10, 19, 58, 69-73, 118)** | | | | | | | | | | |
| III.B.1 | 69-71, 73, 118 | Percentage of countries having a results group (theme group) on poverty reduction | • | ○ | | | 46-49 figure II | 61 (2013) | | Resident coordinator survey or annual report |
| III.B.2 | 72, 73 | Percentage of Governments selecting poverty reduction as a priority area for United Nations support in future | | • | | | 45-47 figure I | 55 (2012) | | Programme country survey |
| III.B.3 | 10, 19, 73 | Percentage of programme country Governments that "strongly agree" that United Nations efforts are focused on assisting the country in achieving the Millennium Development Goals | | • | | | 76 | 60 (2012) | | Programme country survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| III.B.4 | 58, 73 | Percentage of resident coordinators who "strongly agree" that UNDAF "sufficiently emphasizes" the empowerment of the poor and people in vulnerable situations | | • | ○ | | 50 | 65.7 (2013) | | Resident coordinator survey, desk review |
| III.B.5 | 69-73 | Key findings from relevant thematic evaluations by UNDP and others | | | • | | 51 | Not applicable | | Desk review |
| III.B.6 | 72, 73 | Percentage of resident coordinators who cite poverty reduction as an area of competition among United Nations agencies | | | | • | 119 figure III | 32 (2012) | | Resident coordinator survey |
| **C. South-South and triangular cooperation (paras. 74-79)** | | | | | | | | | | |
| III.C.1 | 74, 75 | Percentage of countries where the United Nations country team has a results group (theme group) that covers South-South cooperation | | • | | | Figure II | 13.8 (2013) | | Programme country survey |
| III.C.2 | 74, 77 | Percentage of United Nations country teams that support the host country "to a large extent" in providing South-South cooperation | | • | | | 56-57 table 5 | 24 (2013) | | Resident coordinator survey |
| III.C.3 | 74, 77 | Percentage of UNDAFs that substantively address South-South and triangular cooperation | | • | | | 28-29 | No data yet | | Desk review |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| **D. Gender equality and women's empowerment (paras. 80-92, 118)** | | | | | | | | | | |
| III.D.1 | 81, 85, 88, 89, 118 | Percentage of countries having a results group (theme group) on gender | • | ○ | ○ | ○ | 48, 64 figure II | 83.5 (2013) | | Resident coordinator survey or annual report |
| III.D.2 | 81, 85 | Percentage of countries with one or more joint programmes on gender equality and women's empowerment | • | | ○ | ○ | 64 | 45.0 (2013) | | Resident coordinator survey or annual report |
| III.D.3 | 90 | Percentage of countries where "very adequate" data disaggregated by gender were available at the country analysis stage | | • | • | | 61 table 6 | 23.9 (2013) | | Resident coordinator survey |
| III.D.4 | 81, 89 | Percentage of programme country Governments that judge the United Nations contribution to gender equality to have been "especially significant" | | | • | | – | 69.4 (2012) | | Programme country survey |
| III.D.5 | 85, 88 | Percentage of UNDAFs that substantively address gender equality and women's empowerment | | • | | | 28-29 | No data yet | | Desk review by the United Nations Development Group Task Team on Gender Equality |
| III.D.6 | 83 | Percentage of countries that have completed the gender scorecard | | | • | | 62 | 48.6 (2013) | | Resident coordinator survey |
| III.D.7 | 80, 85, 89 | Percentage of resident coordinators who cite gender equality as an area of competition among United Nations entities | | | | • | 119 figure III | 43.1 (2013) | | Resident coordinator survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
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| **E. Transition from relief to development**[b] **(paras. 93-112)** | | | | | | | | | | |
| III.E.1 | 102, 105 | Number of system-wide agreements or arrangements for response to crisis with key partners (including post-conflict and post-disaster needs assessments and memorandums of understanding) | • | | | ○ | – | No data yet | | United Nations Development Group/Executive Committee on Humanitarian Affairs Working Group on Transition |
| III.E.2 | 93, 94, 108-110 | Percentage of countries having an up-to-date disaster risk reduction strategy | | • | ○ | | 70-71 | 53.2 (2013) | | Resident coordinator survey or annual report |
| III.E.3 | 111 | Percentage of countries in transition where the resident coordinator judges that the United Nations needs to give higher priority to preventing spillover effects in the region/subregion | | • | ○ | | 69 | 68 (2013) | | Resident coordinator survey or annual report |
| III.E.4 | 98-100, 102, 106 | Percentage of resident coordinators in transition countries who cite humanitarian assistance as an area of competition among United Nations entities | ○ | | | • | 119 figure III | 45.7 (2013) | | Resident coordinator survey |
| **IV. Improving the functioning of the United Nations development system** | | | | | | | | | | |
| **A. United Nations Development Assistance Framework and equivalent processes (paras. 11, 12, 113-121, 124 (g), 124 (i), 130 (b), 135, 141, 142, 170, 171, 182)** | | | | | | | | | | |
| IV.A.1 | 182 | Percentage of countries that evaluated the previous UNDAF | ○ | | • | | 199 | 53.2 (2013) | | Resident coordinator survey or annual report |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
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| IV.A.2 | 170 | Percentage of countries where two or more agencies have outcomes in country programme documents (or equivalent) that are reproduced verbatim from the UNDAF outcomes | • | | ○ | | 79 | 21.5 (2013) | | Resident coordinator survey or annual report |
| IV.A.3 | 118, 124 (g), 135, 141 | Percentage of countries where more than 20 per cent of United Nations resources relate to joint programmes and are subject to pooled or pass-through fund management arrangements (as against parallel funding) | • | | | | 50-55 (A/68/97-E/2013/87) | 18.3 (2013) | | Resident coordinator survey or annual report |
| IV.A.4 | 118, 124 (g), 135, 141 | Percentage of resident coordinators who "strongly agree" that the United Nations could make more use of pooled or pass-through funding mechanisms | • | | | | | 43.1 (2013) | | Resident coordinator survey or annual report |
| IV.A.5 | 130 (b), 171 | Percentage of countries where the United Nations produces an annual results report | ○ | | • | | 187 | 79.8 (2013) | | Resident coordinator survey or annual report |
| IV.A.6 | 141, 142 | Percentage of countries where the annual United Nations results report is "fully" structured around UNDAF outcomes | ○ | | • | | 187-188 figure X | 61.1 (2013) | | Resident coordinator survey or annual report |
| IV.A.7 | 141, 142, 171 | Percentage of countries where the annual United Nations results report is "fully" linked to national development results | ○ | | • | | | 52.3 (2013) | | Resident coordinator survey or annual report |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.A.8 | 130 (b) | Percentage of countries where the annual United Nations results report informs the Government on the results of the United Nations country team as a whole | ○ | | • | | | 50.9 (2013) | | Resident coordinator survey or annual report |
| IV.A.9 | 119 | United Nations Development Group efforts to shorten the UNDAF process, and related agency efforts to simplify and harmonize agency-specific programming instruments and processes in alignment with the Framework at the country level, reported to governing bodies by the end of 2013 | ○ | | | • | 89-91 | – | Paragraph 119 — simplification and harmonization of agency-specific programming instruments discussed with governing bodies by the end of 2013 | Agency update |
| IV.A.10 | 119 | Percentage of countries using the shortened, streamlined UNDAF process (review by governing bodies in September, etc.) | | | | • | 89-91 | 22.9 (2013) | | Resident coordinator survey, annual report |
| IV.A.11 | 117 | Percentage of programme country Governments that "strongly agree" that UNDAF or another United Nations planning framework has helped the United Nations to achieve better results than if each agency had planned its support to the country separately | ○ | ○ | • | | – | 47.7 (2012) | | Programme country survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
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| IV.A.12 | 117, 120 | Percentage of Governments that "strongly" or "somewhat" agree that there is a "significant amount of duplication" among the activities of United Nations agencies in the country | ○ | | ○ | • | 117 table 13 | 47.2 (2012) | | Programme country survey |
| IV.A.13 | 117, 120 | Percentage of resident coordinators who observe that United Nations agencies in the country compete with each other for donor funding to a "large" or "moderate" extent | ○ | | ○ | • | | 50.5 (2013) | | Resident coordinator survey |
| IV.A.14 | 11 | Extent to which programme country Governments agree that, overall, the United Nations is efficient in providing its support to the country (rating average) | | | | • | – | 3.1 out of 4 (2012) | | Programme country survey |
| **B. Resident coordinator system (paras. 42, 122-143)** | | | | | | | | | | |
| IV.B.1 | 42, 130 (a), 131 | Indicator of compliance at the country level with the financial and programme reporting provisions of the United Nations resident coordinator system; agency breakdown also available | • | | | | 100 table 10 | 0.7 out of 2.0 (2013) | | Resident coordinator survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.B.2 | 130 (a), 130 (c), 131 | Indicator of compliance with the provisions of the management and accountability system, including implementation of paragraph 37 (c) of General Assembly resolution 50/120; agency breakdown also available | • | | | | 101-104 table 11 | 0.8 out of 3.0 (2013) | | Resident coordinator survey |
| IV.B.3 | 130 | Percentage of United Nations country teams with a code of conduct | • | | | | 114-115 | 41.3 (2013) | | Resident coordinator survey or annual report |
| IV.B.4 | 124 (h) | Percentage of programme countries where UNDP has a country director | • | | | | 109 | 38 (2013) | | Resident coordinator survey or annual report |
| IV.B.5 | 124 (h), 130 | Percentage of resident coordinators with a UNDP country director who state that the presence of a country director is "very important" to ensuring that the functional firewall works well | • | | | | 111 | 76.2 (2013) | | Resident coordinator survey or annual report |
| IV.B.6 | 124 (h) | Percentage of resident coordinators who have delegated responsibility for fundraising on behalf of UNDP to the country director, deputy resident representative or other senior official, either "fully" or "to a large extent" | | | | | 113 table 12 | 60.2 (2013) | | Resident coordinator survey or annual report |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.B.7 | 124 | Extent of alignment of resident coordinator profiles with the needs, priorities and challenges of the country | | • | | | 121-122 | No data yet | | Programme country survey |
| IV.B.8 | 124, 125 | Extent to which United Nations staff have "the right mix of capacities and skills, including for high-quality policy and programme advice, and the highest standards of leadership skills" | | | • | | | No data yet | | Programme country survey, United Nations country team survey |
| IV.B.9 | 128 | Status of the Secretary-General's proposals on the funding of the resident coordinator system | | | • | | 123-125 | See next column | Paragraph 128 — concrete proposals made to the Economic and Social Council and the General Assembly in 2013 | Council update |
| IV.B.10 | 128 | Percentage of resident coordinator offices funded from sources other than UNDP or the Development Operations Coordination Office | | | • | | 123-125 | No data yet | | Resident coordinator survey or annual report |
| IV.B.11 | 124 | Overall (global) performance ratings of resident coordinators | | | • | | – | No data yet | | Development Operations Coordination Office update |
| IV.B.12 | 125 | Number of topics (such as monitoring and evaluation) on which at least 40 resident coordinators see a need for "substantially more joint training" | | | • | | 128-129 figure V | 6 (2013) | | Resident coordinator survey or annual report |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.B.13 | 124 (j) | Index of extent to which resident coordinators judge that United Nations country team members have "very adequate" delegated authority to make decisions on behalf of their agency | | | | • | 137-138 table 18 | 0.5 out of 1 (2013) | | Resident coordinator survey or annual report |
| IV.B.14 | 123, 124 (c) | Percentage of resident coordinators who "strongly agree" that they receive clear strategic guidance from the United Nations Development Group on issues related to United Nations coherence at the country level | ○ | • | | | 130 table 15 | 25 (2013) | | Resident coordinator survey |
| IV.B.15 | 123, 124 (c) | Percentage of United Nations country team members who "strongly agree" that they receive clear strategic guidance from their headquarters on issues related to United Nations coherence at the country level | ○ | • | | | 130-131 | No data yet | | United Nations country team survey |
| **C. "Delivering as one"[c] (paras. 132-143)** | | | | | | | | | | |
| IV.C.1 | 134 | Percentage of countries using the "Delivering as one" approach (pilots and reported self-starters) | • | | ○ | ○ | 146 figure VI | 32 (2013) | | Resident coordinator survey or annual report |
| IV.C.2 | 134 | Percentage of countries applying some elements of the "Delivering as one" approach or considering adopting it | • | | ○ | ○ | | 43 (2013) | | Resident coordinator survey or annual report |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.C.3 | 143 | Options for the review and approval of common country programme documents of the "Delivering as one" countries presented to the Economic and Social Council in July 2013 and methodology subsequently agreed by funds, programmes and specialized agencies | • | | | ○ | 92-96 | | Paragraph 143 — the Secretary-General will make recommendations to the Council and the General Assembly in 2013 | Council update |
| IV.C.4 | 140 | Percentage of countries where a majority of results groups (theme groups) are led by United Nations country team members | • | | ○ | | 154 | 51.4 (2013) | | Resident coordinator survey or annual report |
| IV.C.5 | 140 | Percentage of countries where results group workplans replace single agency workplans | | | | • | | No data yet | | Resident coordinator survey or annual report |
| IV.C.6 | 140 | Percentage of countries with an annual United Nations results report that replaces individual agency reports | | | | • | | No data yet | | Resident coordinator survey or annual report |
| IV.C.7 | 138, 141 | Number of resident coordinators who state that with regard to the "Delivering as one" approach, they have received "very effective" support from headquarters | | | | • | 134 table 17 | 6 (2013) | | Resident coordinator survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.C.8 | 137 | United Nations Development Group completes the analysis of challenges and bottlenecks preventing the "Delivering as one" countries from fully utilizing the efficiency gains from the "Delivering as one" approach | | | | • | 148 | | | United Nations Development Group/ Development Operations Coordination Office |
| **D. Regional dimensions (paras. 144-151)** | | | | | | | | | | |
| IV.D.1 | 148-150 | Percentage of resident coordinators who stated that the United Nations country team received "very effective" support from the regional commission over the past two years | | | • | | 158-159 table 19 | 6 (2013) | | Resident coordinator survey |
| IV.D.2 | 148-150 | Percentage of programme countries that stated that the regional commission had made a "very significant contribution" to the country's development | | | • | | 158 | 36 (2012) | | Programme country survey |
| IV.D.3 | 148-150 | Percentage of resident coordinators who stated that the regional commission had "great" or "moderate" potential to make a larger contribution to the work of the United Nations country team | | • | | | 160 table 20 | 73.2 (2013) | | Resident coordinator survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.D.4 | 151 | Percentage of United Nations country team members who stated that, to improve United Nations coherence at the country level, it would be "very effective" to provide the United Nations Development Group regional team with greater resources | | • | | | 132-133 | 19.5 (2012) | | Resident coordinator/ United Nations country team survey |
| IV.D.5 | 151 | Percentage of resident coordinators who stated that they had received "very effective" support from the United Nations Development Group regional team in the past year | | | • | | 132-133 table 16 | 17.6 (2013) | | Resident coordinator survey |
| **E. Simplification and harmonization of business processe (paras. 152-163)** | | | | | | | | | | |
| IV.E.1 | 161 | Strategy with concrete goals and targets to support the establishment of common premises developed | • | | | ○ | 177 | No baseline | Paragraph 161 — strategy developed by the end of 2013 | Operations management team survey, United Nations Development Group reporting (Task Team on Common Premises) |
| IV.E.2 | | Percentage of countries with a feasibility study for the implementation of common premises reviewed by the Task Team on Common Premises | • | | | ○ | 177 | 45 per cent of all country teams | | Operations management team survey, United Nations Development Group reporting (Task Team on Common Premises) |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
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| IV.E.3 | 152 | Joint plan for the implementation of consolidated support service presented by the funds and programmes to their executive boards at their first regular session in 2014 | • | | ○ | ○ | 174-176 figure IX | No baseline | Paragraph 152 — funds and programmes to report concrete achievements to governing bodies by the end of 2014<br>Paragraph 152 — funds and programmes to submit a joint plan to their executive boards at the first regular session in 2014 | Funds and programmes update |
| IV.E.4 | 155 | Plans for the system-wide harmonization of regulations and rules, policies and procedures in all functional areas of business operations presented by the High-level Committee on Management and the United Nations Development Group for review by the Economic and Social Council by the end of 2014 | • | | ○ | ○ | 167 figure VIII | No baseline | Paragraph 155 — the High-level Committee on Management and the United Nations Development Group to present plans for common support services and harmonization of regulations and rules to the Economic and Social Council by the end of 2014 | Funds and programmes update |
| IV.E.5 | 159 | Proposal on the common definition of operating cost and a common standardized system of cost control presented by the Secretary-General to the Executive Boards of the funds and programmes by the end of 2014 | • | | ○ | ○ | – | No baseline | Paragraph 159 — proposal to be presented by the end of 2014 | Funds and programmes update |
| IV.E.6 | | Percentage of countries with 25 or more per cent of the annual United Nations financed procurement volume done by the Government | | | • | | – | 23 per cent of all countries | | Operations management team survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.E.7 | 160 | Feasibility study for establishing the interoperability of enterprise resource planning systems finalized by the end of 2014 | ○ | | ● | ○ | 180 | No baseline | Paragraph 160 — feasibility study undertaken by the end of 2013 | High-level Committee on Management reporting |
| IV.E.8 | | Percentage of countries with 10 or more established common services on the basis of the implementation of an inter-agency memorandum of understanding and long-term agreement with the service provider | ○ | | ○ | ● | 174-176 figure IX | 1.5 per cent (2 countries) | | Operations management team survey |
| IV.E.9 | | Percentage of countries with consolidated support services through a common United Nations service centre, provision of common functions through a lead agency or outsourcing of common support functions | ○ | | ○ | ● | 174-176 | 1 per cent of all countries | | Operations management team survey |
| IV.E.10 | 153 | Number of funds and programmes that presented plans for intra-agency rationalization of business operations to their governing bodies by the end of 2013 | ○ | | ○ | ● | – | No baseline | Paragraph 153 — plans presented to governing bodies of funds and programmes by the end of 2013 | Funds and programmes update |

| | Relevant paragraph of General Assembly resolution 67/226 | Indicator | Coherence | Relevance | Effectiveness | Efficiency | Relevant paragraph of the present report | Baseline | Target (as per Assembly resolution 67/226) | Source[a] |
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| IV.E.11 | 154 | Number of funds and programmes and specialized agencies that have ratified inter-agency framework agreements regarding the provision of support services regulating the mutual validity of agreements between United Nations entities and third parties for the provision of support services at the country level by the end of 2013 | ○ | | ○ | ● | 174-176 | No baseline | Paragraph 154 — funds/programmes/specialized agencies framework agreements by the end of 2013 | Funds and programmes update |
| IV.E.12 | 159 | Status of the development and implementation of common definition of operating costs and a common system of cost control | ○ | | ○ | ● | – | No baseline | Paragraph 159 — Secretary-General to present proposal to executive boards by beginning of 2014 | High-level Committee on Management reporting |
| **F. Results-based management (paras. 164-172)** | | | | | | | | | | |
| IV.F.1 | 164-166, 168 | Percentage of programme country Governments that stated that it was "very important" for the United Nations to "make better use of results-based methods" in order to become more effective in the country | | | ● | | 186 figure X | 74.8 (2012) | | Programme country survey |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.F.2 | 168 | Percentage of United Nations country team members who stated that harmonizing the agencies' results-based management systems would be a "very effective" way to improve United Nations coherence at the country level | ○ | | • | | 186 | 49.9 (2012) | | Resident coordinator/ United Nations country team survey |
| IV.F.3 | 168 | Percentage of resident coordinators who stated that harmonizing the agencies' results-based management systems was "very important", considering the demands of joint reporting | ○ | | • | | 186 | 88.1 (2013) | | Resident coordinator survey |
| IV.F.4 | 169 | Coherent and harmonized approach to United Nations operational activities for development developed, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting of system-wide results | | | • | | 192-194 | No baseline | Paragraph 169 — approach reported to the Economic and Social Council in July 2013 and implemented in 2014 | Council update |
| IV.F.5 | 171 | Alignment achieved between results-based management and accountability, including finding ways to strengthen the delivery and reporting of United Nations system-wide contribution to national development results | | | • | | 192-194 figure X | No baseline | Paragraph 171 — alignment achieved between results-based management and accountability by the end of 2013 | |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.F.6 | 170 | Results-based management and system-wide results reporting across the United Nations system reviewed, for consideration by the General Assembly in the next quadrennial comprehensive policy review | | | • | | 192-194 figure X | No baseline | Paragraph 170 — annual reporting of funds and programmes to Member States on the implementation of clear and robust results frameworks by 2014 | Desk review |
| **G. Evaluation of operational activities for development (paras. 167, 173-182)** | | | | | | | | | | |
| IV.G.1 | 167 | Status of efforts by the United Nations Development Group, in cooperation with the High-level Committee on Management and other relevant United Nations bodies, to identify measures to improve coherence and complementarity in oversight functions, audit and evaluations in the United Nations development system | • | | | | 200-203 | | | Agency survey |
| IV.G.2 | 181 | Status of efforts by the Secretary-General to develop a policy for system-wide evaluation for discussion at the operational activities segment of the substantive session of 2013 of the Economic and Social Council, and a proposal for pilot system-wide evaluations | • | | | | 201-203 | Draft policy for independent system-wide evaluations will be tabled in the Council along with proposals for pilots | Paragraph 181 — proposal for pilot system-wide evaluations submitted to the Council in July 2013 | Council update |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source[a]* |
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| IV.G.3 | 175 | Percentage of programme country Governments that "strongly agree" that the United Nations has used national evaluation capacities "as much as possible" in order to achieve good results in the country | | | • | | 38-39 table 1 | 10.4 (2012) | | Programme country survey |
| IV.G.4 | | Guidelines developed and implemented for the further strengthening of national evaluation capacities for United Nations operational activities for development, including the responsibilities of different entities | | | • | | 197-198 | No baseline | | United Nations Development Group/ Development Operations Coordination Office |
| IV.G.5 | 175 | Number of agency evaluation units that meet the United Nations Evaluation Group standard for independence | | | • | | 195 | To be informed by the United Nations Evaluation Group | | United Nations Evaluation Group |
| IV.G.6 | 173, 174 | Number of agencies that fully adopt United Nations Evaluation Group norms and standards | | | • | | 195 | To be informed by the United Nations Evaluation Group | | United Nations Evaluation Group |
| IV.G.7 | 173, 174 | Number of agencies that post evaluation reports along with a timely management response on their website | | | • | | 195 | To be informed by the United Nations Evaluation Group | | United Nations Evaluation Group |

| | *Relevant paragraph of General Assembly resolution 67/226* | *Indicator* | *Coherence* | *Relevance* | *Effectiveness* | *Efficiency* | *Relevant paragraph of the present report* | *Baseline* | *Target (as per Assembly resolution 67/226)* | *Source*[a] |
|---|---|---|---|---|---|---|---|---|---|---|
| IV.G.8 | 173, 174, 182 | Percentage of resident coordinators in countries where UNDAF (or equivalent) was evaluated who reported that a management response was prepared | | | • | | 199 | 43.7 (2013) | | Resident coordinator survey |

*Legend*: • Primary attribute
○ Secondary attribute

[a] Survey instruments are available from www.un.org/en/development/desa/oesc/qcpr.shtml.

[b] Several topics of interest in the context of transition, such as United Nations alignment with national priorities, delegation of authority and pooled funding shares, are of interest to all programme countries; the relevant data will thus be collected under the applicable headings.

[c] On some topics, relevant data for "Delivering as one" countries will be received under other headings; the data will be organized according to country status.